Cadence and Formal Function in Mendelssohn's Sonata Forms

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by

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Statement of Copyright

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This thesis is dedicated to E.K.

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Abbreviations

An.	Anacrusis
Ant.	Antecedent
b.i.	Basic idea
C	Closing section
Cad.	Cadence
CBI	Compound basic idea
c.i.	Contrasting idea
CM	Contrasting middle
Conseq.	Consequent
Contin.	Continuation
EC	Evaded cadence
ECP	Expanded cadential progression
EEC	Essential expositional closure
ESC	Essential structural closure
HC	Half cadence
IAC	Imperfect authentic cadence
Int.	Interruption
Intro.	Introduction
M.	Measure
maj.	Major
min.	Minor
MC	Medial caesura
MT (MT1/2)	Main theme (Main-theme section 1/2)
OMT	'one more time'
PC	Plagal cadence
PAC	Perfect authentic cadence
Pres.	Presentation
Resp.	Response
RT	Retransition
Seq.	Sequence
ST (ST1/2)	Subordinate theme (Subordinate-theme section 1/2)
St.	Statement
TMB	Trimodular block
TR	Transition

Abstract

Mendelssohn's sonata-form practices owe much to classical syntactic paradigms, but his music testifies to the growing trend in the nineteenth century for novel methods of syntactic organisation. He engages methods of syntactic proliferation, functional expansion and extension, truncation, compression, and deletion, which engenders a phrase-structural complexity and a multi-layered thematic syntax. In so doing, Mendelssohn makes cadences and structural support subservient to a continuous, proliferative agenda, and capitalises on the capacity for cadential deferral, and delayed consolidation of the tonic. Despite marshalling seemingly coherent, conventional intrathematic units, Mendelssohn's radical treatment therein undermines clear interthematic groupings, engaging a continuous reorientation of functionality. As a point of departure from classical precedents, reconsideration of the interdependence between cadence and closure is evidently necessary. This study contributes to recent scholarly momentum in nineteenth-century music and in Mendelssohn studies by addressing formal articulation in the context of Mendelssohn's novel approach to syntax, in order to illuminate his continued process of downplaying, deferring, and deleting cadences, and the issues of long-range teleology, functional instability, and interthematic indeterminateness that result from these processes.

Part One: Introduction

1.1: Introduction

The unfavourable comparison of Felix Mendelssohn's instrumental music with the Viennese classical style habitually permeated musicology and theory until, as Greg Vitercik states, recent scholarship '[began] to dispel the image of the composer as a supremely gifted, but supremely unadventurous, prodigy afflicted with a fatal facility.'[1] Criticism of Mendelssohn is well documented, even outside musicology, with George Bernard Shaw, for example, remarking of Mendelssohn's so-called 'kid-glove geniality, his conventional sentimentality.'[2] Mendelssohn has often been disregarded as simply a 'facile' and 'classicist' composer, a 'precocious talent … [with a] gift for lyrical melodic lines and delicate, transparent textures, but, above all, a control of large-scale structure unsurpassed by any composer of his generation',[3] a composer who testifies to 'unshakeable confidence in the continued vitality of Classical motivic and formal procedures',[4] and a 'romantic classicist',[5] but not a composer befitting of 'foremost rank of great composers.'[6] In short, in traditional musicology, as Lawrence Kramer writes, 'Mendelssohn has been damned with faint praise as the most classical of Romantic composers.'[7]

Traditional comparisons between Mendelssohn and other composers of the nineteenth century did not favour him. Mendelssohn lacked the so-called heroism of Beethoven, while retrospective readings of Mendelssohn, framed against the perceived progressiveness of composers such as Liszt or Wagner, were inevitably not encouraging, and, thus, a juxtaposition between Mendelssohn's style and that of the earlier classical style persisted.

Leaving aside personal and religious reasons, such as pro-Wagnerian sentiment, the purely musically-analytical grounds for measuring Mendelssohn against the older, classical paradigms are manifold. To begin with, his music betrays a dialogue with and absorption of the conventions and markers of the classical period. Critics have not perceived 'classical' elements in Mendelssohn's music without foundation. As Greg Vitercik demonstrates, Mendelssohn's music is rooted in classical models; yet, it also displays an original and innovative command of sonata form indicative of the early romantic style.[8] The latter half of this statement, however, has received less analytical attention. Mendelssohn's conservative

[1] Greg Vitercik, 'Mendelssohn the Progressive', *Journal of Musicological Research* 8 (1989): 333.
[2] George Bernard Shaw, *Shaw's Music: The Complete Musical Criticism of Bernard Shaw*, Vol. 1 1876-1890 (London: The Bodley Head, 1981), 565.
[3] Charles Rosen, *The Romantic Generation* (Cambridge: Harvard University Press, 1995), 569.
[4] Peter Mercer-Taylor, 'Introduction: Mendelssohn as border-dweller' in *The Cambridge Companion to Mendelssohn*, ed. by Peter Mercer-Taylor (Cambridge: Cambridge University Press, 2004), 7.
[5] Carl Dahlhaus, *Nineteenth-Century Music*, trans. J. Bradford Robinson (Berkeley and London: University of California Press, 1989), 169.
[6] George Bernard Shaw, *Shaw's Music*, 565.
[7] Lawrence Kramer, '*Felix Culpa*: Goethe and the image of Mendelssohn' in *Mendelssohn Studies* ed. by R. Larry Todd (Cambridge: Cambridge University Press, 1992), 65.
[8] See for example Greg Vitercik, 'Mendelssohn the Progressive', and *The Early Works of Felix Mendelssohn: A Study in Romantic Sonata Style* (Philadelphia: Gordon and Breach, 1992).

designations are largely a by-product of the fact that he employed typically classical forms and syntax, coupled with the apparent stylistic ease of much of his composition.

There are some issues in traditional formal theory that have contributed to a sense of Mendelssohn's 'classical' nature, which must be addressed before Mendelssohn's music can be resituated in progressive terms. The first of these stems from the perceived unity of the classical style. Music of the early nineteenth-century, including Mendelssohn's contributions, is fundamentally forced to confront the formal rupture resulting from Beethovenian practice. Post-Beethovenian composers faced a compositional 'crisis', wherein they either addressed the shadow cast by Beethoven across various forms (notably sonata form) and genres (particularly the symphony), or, they were forced to forge new paths, composing in different forms and styles. Magnifying this was the fact that post-Beethovenian sonata forms were now in dialogue with a commonly known and understood fixed architecture. As is frequently stated, when Mozart composed in the sonata form, it represented a dialogue with a shared convention; but, by the early nineteenth-century, the history of sonata form had changed, such that it now represented a dialogue with a fixed formal architecture, one that could be either accepted or consciously altered. According to Charles Rosen, 'once it had been called into existence by early nineteenth-century theory… it was defined, fixed, and unalterable.'[9] For Rosen, sonata form in the early nineteenth-century became much more fragmented, with each composition illustrative of an individual composer's response to the form, and this schism becomes all the more apparent when compared against the perceived unity of the classical style. Rosen goes on to note: 'No such exemplary choices can be found for the period after Beethoven. The stereotypes of sonata construction in the nineteenth and twentieth centuries are representative not so much of a developing musical language as of the individual composer's laziness or despair.'[10] In short, the classical style's perceived unity and coherence has allowed for its elevation as a tool for understanding, theorising, and contextualising musical form. This view, therefore, has coloured attitudes in *Formenlehre*. The theories that today inform and define our analytical practice are rooted most strongly in Viennese classicism. We must therefore acknowledge that any comparison between the Viennese classical style and a later composer's individual practice, another geographic centre, or music of a later period will invariably display contrasting behaviour, differences of style, and exceptions to typical classical practice.

Moreover, given that the two major recent developments in *Formenlehre* (centred primarily on the theory of formal functions, and Sonata Theory, considered separately in section 1.2) are largely concerned with understanding the compositions of Haydn, Mozart, and Beethoven, then any similarities or divergences of practice must be understood within those terms. Basing a theory largely or solely on

[9] Charles Rosen, *Sonata Forms* (New York and London: W. W. Norton & Company, 1980), 365.
[10] Charles Rosen, *Sonata Forms*, 293.

their works produces a compositional contextualisation against these three central composers of the first Viennese school, rather than the classical style as a whole (in light of the fact that their work is not all-encompassing or wholly representative). Indeed, a reliance on the tools of classical analysis in the ensuing early-romantic repertoire serves only to reify and cement a deference and dependence on models of the classical era. We now recognise the different manner in which theories develop if based on alternative parameters, and recent contributions to *Formenlehre* have fostered a broadening of the criteria for theory and analysis, with studies now centred on different geographical music centres, or an expanded list of both canonical and non-canonical composers, and studies that are both generically open or generically specific. In particular, the once virgin, untouched territory of a nineteenth-century specific *Formenlehre* has considerably grown in the last few decades, with significant analytical advancements, to which the following representative examples attest. Julian Horton has written extensively on nineteenth-century repertoires, with studies on Field and the concerto first-movement form, Bruckner, sonata deformation, Schubert, the symphony, the postclassical piano concerto, Brahms' Piano Concerto No. 2, Op. 83, and especially relevant here are his advancements of a specifically nineteenth-century sonata-form analytical model.[11] He questions the 'ubiquity' of specifically-Viennese classical form, positing how 'theory [would] look … if it were grounded evidentially in (for example) the music of Boyce, Clementi, and Dussek, rather than Haydn, Mozart, and Beethoven', and, in 'Formal Type and Formal Function in the Postclassical Piano Concerto' propounds a 'generically restricted response … namely [to] the postclassical piano concerto, paying special attention to first-movement form.'[12] His study on Brahms' Op. 83 is likewise not merely an analytical investigation confined to one piece, but instead offers the foundations of a framework for understanding nineteenth-century concerto form, and romantic forms more widely. Also particularly relevant is Paul Wingfield and Horton's study of Mendelssohnian norms and deformations in the sonata-form context, their repudiation of Sonata Theory and the new frameworks for analysis that they provide.[13]

Steven Vande Moortele has likewise examined the necessity for a romantic formal theory, and expressly gets to the heart of the problem, by identifying the benefits of 'a theory of Romantic form that defines in a positive manner the practice of successive generations of composers without losing track of the ongoing relevance of earlier norms and conventions.'[14] He has written extensively on form-functional analysis, and in his recent study of nineteenth-century overtures, he expounds a genre-specific approach,

[11] See for example: Julian Horton, 'John Field and the Alternative History of Concerto First-Movement Form' in *Music and Letters* 92/1 (2011): 43-83; Julian Horton, 'Bruckner's Symphonies and the Theory of Sonata Deformation' in *Journal of the Society for Musicology in Ireland* 1 (2005): 1-13; Lorraine Byrne Bodley and Julian Horton (eds.), *Rethinking Schubert* (Oxford: Oxford University Press, 2016); Lorraine Byrne Bodley and Julian Horton (eds.), *Schubert's Late Music: History, Theory, Style* (Cambridge: Cambridge University Press, 2016); Julian Horton (ed.), *The Cambridge Companion to the Symphony* (Cambridge: Cambridge University Press, 2013); Julian Horton, 'Formal Type and Formal Function in the Postclassical Piano Concerto' in *Formal Functions in Perspective: Essays on Musical Form from Haydn to Adorno*, ed. by Steven Vande Moortele, Julie Pedneault-Deslauriers, and Nathan John Martin (New York: University of Rochester Press, 2015): 77-122; Julian Horton, *Brahms' Piano Concerto No. 2, Op. 83: Analytical and Contextual Studies* (Leuven: Peeters, 2017); Julian Horton, 'Criteria for a Theory of Nineteenth-Century Sonata Form' in *Music Theory and Analysis* 4/2 (2017): 147-191.

[12] Julian Horton, 'Formal Type and Formal Function in the Postclassical Piano Concerto' 77.

[13] Paul Wingfield and Julian Horton, 'Norm and Deformation in Mendelssohn's Sonata Forms' in *Mendelssohn Perspectives* (Surrey: Ashgate Publishing Limited, 2012): 83-112.

[14] Steven Vande Moortele, 'In Search of Romantic Form' in *Music Analysis* 32/3 (2013): 424.

which seeks to mediate between dependency on classical principles and a replication of form-functional taxonomy, being somewhat redundant given the abundant points of crossover.[15]

Other significant studies in the field include the work of Andrew Davis whose examination of narrative in nineteenth-century sonatas[16] argues for a direct lineage between the classical and romantic sonata, and explores moments of temporal fracture, contending that the rupture of the sonata form acts in a specifically Romantic expressive capacity. Anne Hyland has contributed several important studies to the field, chiefly with regards to analytical and philosophical studies of Schubert, and the Viennese String Quartet, and she has also considered lesser-known composers, principally Hummel.[17] Peter Smith's research focuses on the instrumental music of Brahms, Schenker, theories of form, and he has recently produced a study examining the contradictory interpretations of the 'Type 2 sonata' or 'sonata with reversed recapitulation' in the nineteenth century.[18] Similar is Christopher Tarrant's analysis, which also investigates the Type 2 sonata versus reversed-recapitulation paradigm, as it applies to Nielsen.[19] Outside of his Sonata Theoretical work, James Hepokoski has worked on Sibelius and Brahms,[20] while Stephen Rodgers considers the songs of early Romantics, such as Mendelssohn, Schubert, Hensel-Mendelssohn, the Schumanns, and Berlioz.[21]

One major development in the analysis of early nineteenth-century repertoire arises from Janet Schmalfeldt's work, following Carl Dahlhaus and the Hegelian tradition. Schmalfeldt's methodology is centred on the belief that the core difference between Viennese classical forms and romantic forms lies in the latter's processual nature. That is to say, music of the nineteenth century invites continuous retrospective formal reinterpretation, under a process identified as 'becoming'. As she defines, such functional transformation is 'the special case whereby the formal function initially suggested by a musical idea, phrase, or section invites retrospective reinterpretation within the larger formal context.'[22] This idea has been taken up successfully by several authors; and the processes of functional transformation are fundamental to an understanding of Mendelssohn's treatment of form.[23]

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[15] Steven Vande Moortele, *The Romantic Overture and Musical Form from Rossini to Wagner* (Cambridge: Cambridge University Press, 2017), 10; see also Steven Vande Moortele, Julie Pedneault-Deslauriers, and Nathan John Martin (eds.), *Formal Functions in Perspective: Essays on Musical Form from Haydn to Adorno* (New York: University of Rochester Press, 2015).
[16] Andrew Davis, *Fragments: Romanticism and Musical Narrative in the Piano Sonatas of Brahms, Chopin, and Schumann* (Indiana: Indiana University Press, 2017).
[17] See for example: Anne Hyland, 'Rhetorical Closure in the First Movement of Schubert's Quartet in C Major, D. 46: a dialogue with deformation' in *Music Analysis* 28/1 (2009): 111-142; Anne Hyland, 'In Search of Liberated Time, or Schubert's Quartet in G major, D. 887: Once More Between Sonata and Variation' in *Music Theory Spectrum* 38/1 (2016): 85-108.
[18] Peter H. Smith, 'The Type 2 Sonata in the Nineteenth Century: Two Case Studies from Mendelssohn and Dvořák' in *Journal of Music Theory* 63/1 (2019): 103-138.
[19] Christopher Tarrant, 'Structural Acceleration in Nielsen's *Sinfonia espansiva*' in *Music Analysis* 38/3 (2019): 358-386.
[20] See for example: James Hepokoski, *Sibelius: Symphony No. 5* (Cambridge: Cambridge University Press, 1993); James Hepokoski, 'Monumentality and Formal Processes in the First Movement of Brahms's Piano Concerto No. 1 in D Minor, Op. 15' in *Expressive Intersections in Brahms*, ed. by Peter H. Smith and Heather A. Platt (Indiana: Indiana University Press, 2012): 217-251.
[21] See for example; Stephen Rodgers, *The Songs of Fanny Hensel* (Oxford: Oxford University Press, forthcoming); Stephen Rodgers, 'Musical and Poetic Closure in Clara Schumann's Lieder' in *Clara Schumann Studies*, ed. by Joe Davies (Cambridge: Cambridge University Press, forthcoming); Stephen Rodgers, 'Schubert's Idyllic Periods' in *Music Theory Spectrum* 39/2 (2017): 223-246; Stephen Rodgers, *Form, Program, and Metaphor in the Music of Berlioz* (Cambridge, Cambridge University Press, 2009).
[22] Janet Schmalfeldt, *In the Process of Becoming: Analytical and Philosophical Perspectives on Form in Early Nineteenth-Century Music* (Oxford and New York: Oxford University Press, 2011), 9.
[23] See for example: articles by William E. Caplin and James Hepokoski in *Beethoven's Tempest Sonata: Perspectives on Analysis and Performance*, ed. by Pieter Bergé (Leuven: Peeters, 2009); Benedict Taylor, *The Melody of Time: Music and Temporality in the Romantic Era* (Oxford and New York: Oxford University Press, 2016) and *Mendelssohn, Time and Memory: The Romantic*

Running parallel with these theoretical advancements, a renaissance in Mendelssohn studies over the past several decades has produced a variety of investigations interrogating the 'classical' nature of Mendelssohn.[24] R. Larry Todd's 2003 biography of Mendelssohn lays witness to music criticism's shifting perceptions of Mendelssohn, from 'a composer of conservative tastes', [25] to 'a versatile, craftsmanlike composer whose work effortlessly mediated between the poles of classicism and romanticism … the Mozart of the nineteenth century.'[26] Todd's research into Mendelssohn's life, family, the political spheres he inhabited, and his musical influences is extensive.[27] Benedict Taylor has also contributed significantly to this renaissance, especially the historical, philosophical, and theoretical aspects of Mendelssohn's music. Taylor has analysed Mendelssohn's cyclic forms (including analyses of Opp. 12, 13, and 44 No. 2, conspicuously relevant here), and the intersection between music and the human understanding of temporality, both of which are couched not only in the musically-specific but in a broader philosophical understanding.[28] In his work, Taylor demonstrates that Mendelssohn was one of the first post-Beethovenian composers to engage seriously with 'the compositional issue of form and large-scale coherence in instrumental music.'[29] Elsewhere, John Michael Cooper has written extensively on Mendelssohn, with important contributions on the *Walpurgisnacht* Overture and the Italian Symphony,[30] and Friedhelm Krummacher has published on Mendelssohn, and in particular his mature sonata style and the string quartets.[31] Peter Mercer-Taylor and James Garratt have also contributed to Mendelssohnian research,[32] while Vitercik has frequently expounded a progressive reading of Mendelssohn's music.[33]

The present study seeks to contribute to this scholarly momentum, by offering a detailed analysis of Mendelssohn's treatment of cadence in the context of his sonata-form syntax. In order to produce a robust and substantive study of Mendelssohn's syntax, the following methodological and analytical attitudes must be addressed. First, while form-functional theory and Sonata Theory are analytically

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Conception of Cyclic Form (Cambridge: Cambridge University Press, 2011); Julian Horton, 'Formal Type and Formal Function in the Postclassical Piano Concerto'.

[24] See for example: Greg Vitercik, 'Mendelssohn the progressive', and 'Mendelssohn as Progressive', *The Cambridge Companion to Mendelssohn*, ed. by Peter Mercer-Taylor, 71-88 (Cambridge: Cambridge University Press, 2004); Paul Wingfield and Julian Horton, 'Norm and Deformation in Mendelssohn's Sonata Forms'.

[25] R. Larry Todd, *Mendelssohn: A Life in Music* (Oxford and New York: Oxford University Press, 2003), xx.

[26] R. Larry Todd, *Mendelssohn: A Life in Music*, xix.

[27] See for example: R. Larry Todd, *Mendelssohn: A Life in Music*; R. Larry Todd, *Mendelssohn and His World* (Princeton: Princeton University Press, 1991); R. Larry Todd, *Mendelssohn Essays* (London and New York: Routledge, 2008); R. Larry Todd, *Mendelssohn Studies* (Cambridge: Cambridge University Press, 1992); R. Larry Todd, *Fanny Hensel: The Other Mendelssohn* (Oxford and New York: Oxford University Press, 2010); R. Larry Todd, *Nineteenth-Century Piano Music* (London and New York: Routledge, 2004).

[28] Benedict Taylor, *Mendelssohn, Time and Memory*; Benedict Taylor, *The Melody of Time*; Benedict Taylor (ed.), *Mendelssohn* (London and New York: Routledge, 2015); Benedict Taylor (ed.), *Rethinking Mendelssohn* (Oxford and New York: Oxford University Press, 2020); Benedict Taylor, 'Musical History and Self-Consciousness in Mendelssohn's Octet, Op. 20' in *19th-Century Music* 32/2 (2008): 131-159; 'Beyond Good and Programmatic: Mendelssohn's 'Reformation' Symphony' in *Ad Parnassum* 7/14 (2009).

[29] Benedict Taylor, *Mendelssohn, Time and Memory*, 1.

[30] John Michael Cooper, *Mendelssohn, Goethe, and the Walpurgis Night: The Heathen Muse in Western Europe, 1700-1850* (New York: University of Rochester Press, 2007); *Mendelssohn's "Italian" Symphony* (Oxford and New York: Oxford University Press, 2003).

[31] Friedhelm Krummacher, *Mendelssohn–der Komponist: Studien zur Kammermusik für Streicher* (Munich: Wilhelm Fink, 1998); Friedhelm Krummacher, 'On Mendelssohn's Compositional Style: Propositions Based on the Example of the String Quartets', trans. by Douglass Seaton, in *Mendelssohn*, ed. by Benedict Taylor (Farnham: Ashgate, 2015): 119-136.

[32] See for example: Peter Mercer-Taylor, *The Life of Mendelssohn* (Cambridge: Cambridge University Press, 2000) and Peter Mercer-Taylor (ed.), *The Cambridge Companion to Mendelssohn*; James Garratt, 'Mendelssohn's Babel: Romanticism and the Poetics of Translation' in *Mendelssohn*, ed. by. Benedict Taylor (Farnham: Ashgate, 2015): 89-118, and, 'Mendelssohn and the Rise of Musical Historicism' in *The Cambridge Companion to Mendelssohn*, ed. by Peter Mercer-Taylor (Cambridge: Cambridge University Press, 2004): 55-70.

[33] Greg Vitercik, *The Early Works of Felix Mendelssohn*, 'Mendelssohn as Progressive' and 'Mendelssohn the Progressive'.

helpful (and indeed underpin much of the theoretical understanding of this thesis), following the example established by many of the authors considered above, Mendelssohn's relationship with these models should not invite negative comparison with classical precedents. In line with these recent studies of Mendelssohn's progressiveness, we must move towards an understanding of the composer's music not simply as a continuation of the classical tradition, but as a composer reacting to changes in form, and establishing new paths for formal syntax and a novel approach to functional frameworks. Second, in so doing, while it is not necessary to erase the two major theories of form deriving from the classical era, they must be adapted (or applied less rigidly) so that the repertoire dictates the theoretical understanding (rather than having our view coloured by theory). Third, we must factor out comparisons between the composer and the earlier style, particularly where these lead to views of normative and deformational behaviour. The locus of norm and deformation must therefore be resituated. The critique of early nineteenth-century music against a classical norm is both arbitrary and unconstructive. Resituating considerations of common and unusual practice from the 'composer versus tradition' complex to within the individual composer's output produces a fairer and more valuable reading of the parameters commonly and less commonly employed by Mendelssohn between different genres, bodies of work, and even within individual movements. This present reading contributes to the evolving and increasing field of research exploring the dialogue between Mendelssohnian classicism and romanticism, and advances further evidence of Mendelssohn's progressive style.

1.2: Theoretical Models: the Theory of Formal Functions and Sonata Theory

Before analytically interrogating the repertoire, it is essential to examine the major analytical models around which the majority of our sonata-theoretical understanding is based.[34] As *Formenlehre* remains centred on William E. Caplin's theory of formal functions and James Hepokoski and Warren Darcy's Sonata Theory, these two theories furnish my principal point of departure. Turning first to the theory of formal functions, it is difficult to argue against the claim that Caplin's theory has significantly altered and enhanced the field of *Formenlehre*. Caplin is primarily concerned with theorising 'the specific role played by a particular musical passage in the formal organization of a work.'[35] Stemming from the work of Arnold Schoenberg and Erwin Ratz, Caplin provides a taxonomy for analysing the syntax (vocabulary and grammar) of music, 'bridging the gap between the whole-movement forms that are the habitual starting

[34] The present discussion deals with formal functions and Sonata Theory as they define music of the eighteenth-century; thus, the ensuing section is mostly concerned with classical form/style. How these theories might be ill-fit for use in Mendelssohn, and in the broader context of the nineteenth century, will be explored throughout later sections.
[35] William E. Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart and Beethoven* (Oxford and New York: Oxford University Press, 1998), 254.

point for architectonic theories and the motivic processes underpinning Schoenbergian concepts of developing variation.'[36]

The theory is based on two principal categories: *function* and *type*. Types, so-called in formal functions, but common also to other, traditional formal theories, are the larger structures constituted of smaller, combined units. Types exist at various levels of the grouping hierarchy, both the interthematic and intrathematic level, ranging from periods and sentences, to expositions and recapitulations. Each level is understood as a grouping of smaller component parts, and movement through each of these levels produces a formal hierarchy, through to the whole-movement form. In this case, the period or sentence represents the intrathematic type, main themes, transitions, subordinate themes, closing sections, codas, and codettas are interthematic, and the exposition, development, and recapitulation are the large-scale functions.

By contrast, functions are the component parts from which types are made, and their categorisation is dictated by the 'job' or purpose of the given segment. Therefore, the constituent phrases of the 'type' contain initiating (antecedent, presentation, and compound basic idea), medial (continuation), and concluding (cadential, and consequent) functions,[37] each of which is pieced together in a specific format to demonstrate the spectrum of beginning, middle, and end.[38] As such, functions are temporal, because they define the location of the musical unit, whereas types are not temporally specific. As each small constituent function is applied, it creates a layered syntax which, with large-scale, complex musical examples, produces a dense nesting of formal types and functions.

As Pieter Bergé suggests in the introduction to *Formal Functions in Perspective*, the added benefit of the theory of formal functions is its ability to orientate the listener within the work, providing temporal and analytical context.[39] Inherent to each function is a fundamental quality defining its position, both in relation to its surrounding functions and within each type. Therefore, each syntactic label not only indicates the properties and characteristics of that segment of music, but they specify the purpose of that material. Moreover, Caplin's theory addresses potential oppositions in thematic cohesion between the two theme groups. The classical main theme is commonly defined by stricter adherence to formal schemes (such as periods and sentences), and is thus considered tight-knit. The classical subordinate theme on the other hand often expresses a thematic and tonal antithesis, with a relaxing or slackening of intrathematic functions making it inherently looser than the main-theme group.[40]

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[36] Julian Horton, 'Formal Type and Formal Function in the Postclassical Piano Concerto', 77.
[37] William E. Caplin, *Classical Form*, 97.
[38] William E. Caplin, *Classical Form,* 111.
[39] Steven Vande Moortele, Julie Pedneault-Deslauriers, and Nathan John Martin, 'Introduction' in *Formal Functions in Perspective,* ed. by Steven Vande Moortele, Julie Pedneault-Deslauriers, and Nathan John Martin (New York: University of Rochester Press, 2015), 2.
[40] As Caplin notes, 'the distinction between tight-knit and loose formal organization originates with Schoenberg and is developed extensively by Ratz. The terms translate these theorists' use of the German adjectives *fest* and *locker*, respectively.' - William E. Caplin, *Classical Form*, 261 n. 16.

Sonata Theory, by contrast, sets forth an analytical framework based on a dialogic interaction between individual pieces and the standard 'norm'. Any sonata movement is therefore 'engaged in a dialogue with a more basic architectural principle of large-scale recurrence', which they refer to as 'rotation'.[41] That is to say, Sonata Theory views each individual piece as a 'musical utterance that is set (by the composer) into a dialogue with implied norms … the composer generates a sonata–which we regard as a *process*, a linear series of compositional choices–to enter into a dialogue with an intricate web of interrelated norms as an ongoing action in time.'[42] The 'real form' then of the piece 'exists in that conceptual dialogue with implicit generic norms.'[43]

There exists, therefore, an abstracted concept of how musical form should be constructed, and the progression of the music is dictated by the composer's wish to either accept or deviate from these expectations. As Hepokoski and Darcy note, 'the options available from compositional zone to zone existed conceptually within the knowledgeable musical community as something on the order of tasteful generic advice … given by a shared knowledge of precedents.'[44] Notably, Sonata Theory identifies a distinction between Viennese classicism and romanticism: where classical composers deviate from normative procedure, this is regarded as a deformation of a generic convention; for romantic composers, these are seen as deformations of the 'standard-textbook' sonata-form model.[45]

A fundamental tenet then of Sonata Theory is the opposition between norm and deformation. Taking numerous musical examples from across the late-eighteenth century, Sonata Theory captures the statistically most frequent 'standard' 'conventional' choices to elaborate its writing on normative practice, which are then ordered into lists of defaults. For each aspect of form, the default lists are arranged so that the first-level defaults are the most numerically recurrent. Deformation is understood as a 'stretching of a normative procedure to its maximally expected limits or even beyond them–or the overriding of that norm altogether.'[46]

While Hepokoski and Darcy make large attempts to reassure the reader that the term deformation is not meant negatively – 'that is not our intention. We are suggesting neither that a sonata deformation is an unattractive structure … nor that it is the result of a misguided execution on the part of the composer'[47] – there remains, nonetheless, a theoretical 'problem' associated with deformation theory. Despite protestations, deformation endures as a perceived negative, and, most especially, labelling an

[41] James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata* (Oxford and New York: Oxford University Press, 2006), 611.
[42] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 10.
[43] James Hepokoski, 'Back and Forth from *Egmont*: Beethoven, Mozart and the Nonresolving Recapitulation', *19th-Century Music* 25/2-3 (Autumn 2001-Spring 2002), 135.
[44] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 9.
[45] This is borne out in Hepokoski and Darcy, *Elements of Sonata Theory*, 2006, but can be charted back through earlier writings, such as James Hepokoski, 'Fiery Pulsed Libertine or Domestic Hero? Strauss' *Don Juan* Revisited' in *Richard Strauss: New Perspectives on the Composer and His Work*, ed. by Bryan Gilliam (Durham, NC: Duke University Press, 1992), 135-175, James Hepokoski, *Sibelius: Symphony No. 5*, 19-30, and James Hepokoski, 'Beyond the Sonata Principle', *Journal of the American Musicological Society* 55/1 (Spring 2002): 91-154.
[46] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 614.
[47] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 615.

aspect of form as deformational gives little towards an understanding of sonata form's development, the individual composer's contribution, or the significance of the specific work.[48]

The presentation of these norms and deformations forms part of Sonata Theory's other main concept: the 'essential sonata trajectory' (EST).[49] Sonata Theory is based on a recognition of 'goals', which are the structural cadential events that articulate the exposition, development, and recapitulation, and together comprise the EST. Within the EST, smaller trajectories are also established, such as the EET, 'essential expositional trajectory', which evidently oversees the expositional action space. The exposition can be understood as either continuous or two-part, in which the primary theme and transition constitute the first section, and the secondary theme and closing section constitute the second. The choice between continuous or two-part is predicated on the articulation of the medial caesura (MC). The EET and EST culminate in a cadence at the end of the secondary theme. As successive musical rotations may be 'shortened, truncated, telescoped, expanded, developed, decorated, or altered' this means that 'not infrequently these varied multiple recyclings build cumulatively towards a longer-range goal.'[50] The exposition culminates in a non-tonic perfect authentic cadence labelled the 'essential expositional closure', EEC; this is answered in the recapitulation by a tonic presentation, the 'essential structural closure', ESC, which represents the ultimate goal to which all preceding material and energy is directed, and delivers the '*telos* of the entire sonata.'[51]

Both Caplin's and Hepokoski and Darcy's theories conform to the received sonata-form architecture of exposition-development-recapitulation, with similar, albeit differently labelled, internal exposition/recapitulation structures. Caplin's theory incorporates a main theme, transition, subordinate theme, and closing section formation (with the emphasis on interthematic function), while Hepokoski and Darcy view the EET as formed of primary, transitional, secondary, and closing action areas. While similar, the identification of these sections differs in both theories in terms of veracity. Chiefly, Sonata Theory is far more stringent in its definition of the commencement and close of S-space. This is because of two factors: the medial caesura, MC, and the essential expositional closure, EEC, or its recapitulatory equivalent, the essential structural closure, ESC. Recalling that the 'essential expositional trajectory' can constitute either a continuous or two-part exposition, the distinction between the two is predicated on the successful employment of the MC.[52]

The medial caesura, for which there is a list of defaults to highlight normative and deformational procedures, is defined by Sonata Theory as 'the brief, rhetorically reinforced break or gap that serves to

[48] See, for example, the criticisms in Joseph N. Straus, 'Normalizing the Abnormal: Disability in Music and Music Theory, in *Journal of the American Musicological Society* 59/1 (2006): 113-184; Julian Horton, 'Bruckner's Symphonies and Sonata Deformation Theory'; and Paul Wingfield, 'Beyond 'Norms and Deformations': Towards a Theory of Sonata Form as Reception History' in *Music Analysis* 27/1 (2008): 137-177.
[49] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 17.
[50] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 611.
[51] James Hepokoski and Warren Darcy, *Elements of Sonata* Theory, 232.
[52] A diagram of the trajectory is provided in James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 24.

divide an exposition into two parts', and its functions are to mark the end of the first section of the exposition, and make accessible the second, thereby defining the exposition type.[53] The medial caesura is typically formed as a break in the rhetoric of the material, furnished by the energy gain from the transition. It not only represents the cadence occupying the space between the transition's closing and the secondary theme's initiating functions, but the very consideration of the exposition as two-part lies solely in the presence and successful presentation of the MC. In this vein, the medial caesura performs two tasks. On the one hand it is fundamental to the demarcation of action space within the exposition, and on the other, within sonata-theoretical considerations, it is essential to the recognition of the secondary theme. Sonata Theory strictly states that without a clear and rhetorical cadence at the end of the transition, no secondary theme can be identified. Thus, even if thematic rhetoric is clearly present and identifiable, Sonata Theory only applies secondary theme designation where the theme is launched by the medial caesura, because a 'conceptually separable secondary-theme zone' is only intelligible to them on those terms.[54]

In this regard, Sonata Theory is far more stringent than the theory of formal functions in its structural restrictions. For Caplin, for example, a transition is not required to end with a cadence:

> unlike a main theme or a subordinate theme, a transition need not necessarily end with a cadence. In some cases, a half cadential progression is present, but for a variety of reasons, the appearance of the final dominant fails to create a true cadence. In other cases, a cadential progression is absent, yet the final dominant still gives the impression of being an ending harmony.[55]

As the emphasis of interthematic types relies on internal structures of initiation, continuation, and cadential function, the presence of a successfully initiated theme supersedes any requirement for a previous medial cadence.

According to Sonata Theory, the cadence marking the end of the secondary theme – the EEC – represents the achievement of the EET, marking the culmination of the exposition's 'goals'. The normative purpose of the secondary theme is to reach and stabilise a perfect authentic cadence in the new key ('producing the EEC is the generically assigned task of the S-idea'[56]) and by association, the normative purpose of the closing section is to reinforce this PAC EEC. Sonata Theory views the first attainment of a perfect authentic cadence to be the EEC, even if this is not the most definitive cadence of the exposition. Therefore, anything ensuant from the first cadence is regarded as C-space, despite the fact that the closing section may then contain several, more 'fully satisfying' PAC articulations.[57]

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[53] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 24-25.
[54] James Hepokoski and Warren Darcy, 'The Medial Caesura and Its Role in the Eighteenth-Century Sonata Exposition' in *Music Theory Spectrum* 19/2 (1997), 118.
[55] William E. Caplin, *Classical Form*, 133.
[56] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 18.
[57] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 124.

While the theorising of the PAC as an EEC is specific to Sonata Theory, the concept that the subordinate theme ends with a cadence is held in common with the theory of formal functions. Both theories also agree that because of the energy required to produce the subordinate theme's PAC, the ensuing material often takes the form of short, codetta-like passages that act to confirm and reinforce the preceding cadence (what Caplin refers to as the closing section, and Hepokoski and Darcy as the closing zone). [58] Primary theoretical differences lie again in Sonata Theory's addition of deformational considerations.

1.3: Formal Articulation and Cadences: Theoretical Considerations

In addition to the study of romantic syntax, the primary aim of this thesis is to investigate formal articulation and cadences. The cadence is, arguably, one of the most fundamental aspects of formal theory, and despite its central position in many recent analytical accounts, there has been comparably less attention given to codifying a single, coherent definition.[59] Caplin's *Classical Form* encapsulates the broadly understood and established definition of the cadence as the device that 'essentially represents the structural *end* of broader harmonic, melodic, and phrase-structural processes', and a function that follows preceding 'presentational or continuational' material 'in order to effect thematic closure.'[60] The classical cadence, and I believe also the early romantic cadence, 'serve[s] to provide formal *closure* at specific levels in the musical hierarchy, namely the middleground levels of *phrase* and *theme*.'[61]

Cadences are a function of considerable importance in the eighteenth and nineteenth centuries given that they contribute to music's sense of goal-directedness.[62] Perhaps more so than any other component, cadences inform our understanding of syntax and sonata-space, as they act as the primary delineators of cessation. In classical composition, cadential expression seems to follow a more uniform pattern. It is not beyond the remit of any analyst to assume that themes will end with a cadence, and in particular a perfect authentic cadence, or that medial points of syntax will end with a weaker cadence, such as a half closure. Indeed, where these expectations do not occur, they often represent instances of dramatic effect. For earlier styles, including much of the classical period, the concept of what constitutes a cadential function is bound-up with specific 'conventionalized' melodic-motivic makers, such that 'we can appropriately speak of a melodic formula, almost always of falling contour … that unequivocally

[58] See for example William E. Caplin, *Classical Form*, 122.
[59] The author is aware of William E. Caplin's present investigations into cadences, and hopes that this study offers an additional illumination of the issues, particularly as they pertain to the early nineteenth-century.
[60] William E. Caplin, *Classical Form*, 43.
[61] William E. Caplin, 'Beyond the Classical Cadence: Thematic Closure in Early Romantic Music', *Music Theory Spectrum* 40/1 (2018): 2.
[62] Markus Neuwirth and Pieter Bergé, 'Introduction: What is a Cadence?' in *What is a Cadence? Theoretical and Analytical Perspectives on Cadences in the Classical Repertoire* (Leuven: Leuven University Press, 2015), 7.

signals cadential closure.'[63] Even with the advent of more ambiguous compositions in the hands of composers beginning with Beethoven, Caplin believes that 'most cadential melodies of the classical style remain conventional (if not formulaic) by projecting a consistent descending stepwise motion within a series of uniform durational values.'[64] Caplin has also extracted what he regards as the typical harmony of the classical cadence, which is one that features an initial/initiating tonic, predominant harmony (typically ii^6), penultimate root-position dominant, and (if in the case of a PAC/IAC), a final root-position tonic. The PAC defines motion in the soprano to $\hat{1}$, while the IAC defines motion to $\hat{3}$ or $\hat{5}$. Incomplete forms of the cadence may eliminate the initiating tonic and/or the predominants, but the root-position dominant and tonic must prevail.[65]

After the turn of the century, however, expression of cadences becomes more varied. It is not always the case that cadences feature a descending formula, or that stronger cadences define ending boundaries, while weaker cadences define medial ones. Moreover, the assumption that cadences act as means of articulating sonata space is not always borne out post-classicism. The sheer excess and variety through which cadences can be expressed poses a challenge to cadential definition. Thus, if Markus Neuwirth and Pieter Bergé are correct in the following assertion, then cadential analysis in the nineteenth century is made all the more difficult: 'despite the importance of cadences in music-theoretical training and their ubiquity in analytical writings, "cadence" remains "one of the most malleable concepts in music theory," with much controversy lingering over what constitutes a cadence.'[66]

A varied body of scholarly work aimed at exploring closure and cadence exists, ranging from an analysis of cadence types found in the classical era, such as Caplin's studies 1998 and 2004,[67] to the study of cadential evasion or prolongation, and specifically Schmalfeldt's 'one more time' technique,[68] from the centrality of cadences in expositional and sonata goal realisation and goal-orientation in Hepokoskian and Darcian Sonata Theory,[69] to the relationships between cadences, tonal closure, and form in Mark Anson-Cartwright's 2007 study.[70] Many of these writings have focused on rhythmic, melodic, rhetorical, and dramatic aspects associated with closure, but none of these have received as much attention as the close link between formal closure and tonal elements.

There is an emphasis in current theory on how a cadence culminates, which is to say the type of cadential harmony ultimately produced: perfect authentic cadences, imperfect authentic cadences, half cadences, deceptive cadences, and so forth. Therefore, classification of cadences has typically

[63] William E. Caplin, 'The Classical Cadence: Conceptions and Misconceptions', *Journal of the American Musicological Society* 57/1 (2004): 81.
[64] William E. Caplin, 'The Classical Cadence: Conceptions and Misconceptions', 82.
[65] William E. Caplin, 'Beyond the Classical Cadence: Thematic Closure in Early Romantic Music', 1.
[66] Markus Neuwirth and Pieter Bergé, 'Introduction: What is a Cadence?', 8.
[67] William E. Caplin, *Classical Form*, 1998; and William E. Caplin, 'The Classical Cadence: Conceptions and Misconceptions', 51-118.
[68] Janet Schmalfeldt, 'Cadential Processes: The Evaded Cadence and the "One More Time" Technique', *Journal of Musicological Research* 12/1-2 (1992): 1-52.
[69] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 2006.
[70] Mark Anson-Cartwright, 'Concepts of Closure in Tonal Music: A Critical Study', *Theory and Practice* 32 (2007): 1-17.

concentrated on principles of concluding harmony, thereby placing emphasis on the syntactic parameters of music in terms of melody and harmony in particular.[71] Understanding cadences based on the moment of harmonic resolution does little to penetrate the diverse ways in which the cadence phrase itself is presented, particularly the relationship between cadences, syntax, proliferation of functions, truncation of material, and dissociation between commencement of theme and harmony, and in particular the effect on syntax, functions, the overall form, and the sense of the tonic when a cadence is displaced, abandoned, removed, or deferred. Despite its obvious need, theory has yet to produce any substantive means of defining cadences in these terms, and analysing diverging cadential practices between different decades, composers, or geographical music centres.

The focus on the association between closure and tonal/key relations is, according to Anson-Cartwright, largely a product of the 'strong and obvious empirical support' which has benefited 'tonal closure', as other parameters (rhythmic, rhetorical, dramatic) are 'much less conducive to general models than are harmony and voice leading.'[72] As tonal closure, in this case cadences, express specific harmonic progressions, they are regarded as both part of and fundamental to syntax in tonal music.[73] According to Caplin, cadences are seen specifically as operating on the middle-ground interthematic level, and particularly on those aspects that express functional beginnings, middles, and ends: that is, themes. The theory of formal functions regards cadences, therefore, as having an explicitly thematic function and priority – 'in no other repertory does cadential articulation … assume such major significance for formal expression.'[74] In short, classical themes are articulated by cadences. Consequently, the articulation of the exposition is likewise dependent on cadences, since they demarcate where main themes end and transitions begin, and where subordinate themes end and closing sections begin. From the point of view of the grouping hierarchy, thematic articulation inherently affects intrathematic and interthematic functions, which in turn affects the overall exposition/recapitulation through total sonata-form reading.

Sonata Theory's position on cadences has for the most part been explored in the above section. Principally, in sonata-theoretical terms, the exposition's/recapitulation's medial cadence, the medial caesura, is fundamental to the demarcation of action space. In terms of thematic cadences – specifically the cadences that articulation thematic closure – Sonata Theory is mostly in agreement with the theory of formal functions. They maintain that the 'strong tendency is to regard P as ending with a cadence (authentic or half) and TR as beginning a new phrase.'[75] Thus, the two major contemporary theories of Viennese classicism both regard cadences as having central importance. Yet, Sonata Theory makes little attempt to theorise what a cadence is beyond its structural significance.

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[71] David Sears, William E. Caplin, and Steven McAdams, 'Perceiving the Classical Cadence', *Music Perception* 31, no. 5 (2014): 398.
[72] Mark Anson-Cartwright, 'Concepts of Closure in Tonal Music: A Critical Study', 2.
[73] David Sears, William E. Caplin, and Steven McAdams, 'Perceiving the Classical Cadence', 397-417.
[74] William E. Caplin, 'The Classical Cadence: Conceptions and Misconceptions', 52.
[75] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 95.

There are several recent studies that have contributed to cadence research which are particularly pertinent for the present investigation: Schmalfeldt's study on evaded cadences and the 'one more time' technique,[76] and Caplin's research on the classical cadence, the expanded cadential progression, and thematic closure in early romantic music.[77] The purpose of the 'one more time' technique is the withholding of the cadential root, such that cadential realisation is 'avoided, denied, evaded', with the result that the 'cadence fails to materialize.'[78] These deferrals need not be limited to one instance; they can, and often are, repeated several times. The deferrals essentially disrupt the momentum of the music towards closure, and produce both an extension of the cadential function, and an expansion of the overall form.[79] Therefore, in the Mendelssohnian context of expanded syntax and enlarged functions, the 'one more time' technique is particularly relevant.

In reference to the classical subordinate theme, Caplin expounds a method of restructuring the cadential phrase whereby the closing function is greatly expanded (the expanded cadential progression, ECP). Beginning over a first-inversion tonic chord, the cadential material is elongated, and is often functionally divorced from the preceding medial or concluding functions, such that the ECP is its own, separate functional unit, and can include several internal cadential attempts. Although Caplin largely applies this to the subordinate theme (given his duality between the tight-knit main theme and the looser second subject), in a Mendelssohnian context the ECP is applicable to both themes.[80] In his 2004 article, Caplin examines the various concepts and opinions surrounding the cadence, especially in the context of the classical style, particularly those that may be problematic, or produce analytical confusion. He catalogues cadential material, elucidating several theoretical labels, in particular function (the cadential material pre-resolution), progression (in the classical style, a tight formulation of harmonic motion), and postcadential (the material after a cadential resolution). Although the material is largely concerned with the classical style, its application is beneficial in the early romantic period, albeit some of his more stringent definitions need looser application.[81] Caplin's 2018 article on closure in early-romantic music goes some way towards bridging the analytical gap between the classical and romantic periods. His study identifies seven categories of changed romantic approaches to cadential composition, the sixth of which is perhaps the most pertinent for the present study: 'a lack of cadential closure for thematic units.'[82] Caplin rightly notes that although some classical *phrases* do not end with cadences (specifically the presentation and compound basic idea), it is more or less a given that we might expect a classical *theme* to produce a

[76] Janet Schmalfeldt, 'Cadential Processes: The Evaded Cadence and the "One More Time" Technique'.
[77] William E. Caplin, 'The Classical Cadence: Conceptions and Misconceptions'; 'The "Expanded Cadential Progression": A Category for the Analysis of Classical Form' in *Journal of Musicological Research* 7/2 (1987): 215-257; and 'Beyond the Classical Cadence: Thematic Closure in Early Romantic Music'.
[78] Janet Schmalfeldt, 'Cadential Processes: The Evaded Cadence and the "One More Time" Technique', 3.
[79] Janet Schmalfeldt, 'Cadential Processes: The Evaded Cadence and the "One More Time" Technique', 6.
[80] William E. Caplin, 'The "Expanded Cadential Progression": A Category for the Analysis of Classical Form'.
[81] William E. Caplin, 'The Classical Cadence: Conceptions and Misconceptions'.
[82] William E. Caplin, 'Beyond the Classical Cadence: Thematic Closure in Early Romantic Music', 1.

cadence, either PAC, IAC, or HC. However, 'with the romantic style, we see a loosening of this thematic requirement and begin to find themes that close not with cadential progressions, but with prolongational ones instead.'[83] Caplin's study, however, focuses on 'Romantic cadential usage primarily in compositions by Schubert, Schumann, and Chopin' because '*few cases arose for the classicizing Mendelssohn*' (emphasis mine).[84] While Mendelssohn may not have suited the seven categories espoused in Caplin's study, it is premature to dismiss Mendelssohn as a classicist on the grounds of his cadential usage. If we do so, then it is safe to take for granted that Mendelssohn's themes will more or less always produce a cadence – an assumption that is not borne out in the analysis. Therefore, one of the main objectives of this thesis is to not only analyse cadential content (to assess the type and strength of the cadential closure), but to interrogate the prevalence of cadential articulation itself, particularly as this relates to the end of themes. Theory cannot take for granted that form in the early nineteenth-century is partitioned by cadences. Thus, the premise of my investigation is to interrogate both formal and cadential articulation, specifying both, as cadences alone do not punctuate or articulate the sonata form. In fact, an isolated investigation of thematic cadences would exclude many of the pieces this study examines. While closure and cadence have hereto been synonymous with one another, in Mendelssohn's repertoire (and in the early romantic period more broadly), cadences and closure do not necessarily occupy the same sphere, as there is a growing reliance on rhetorical and dramatic characteristics as indicatives of thematic conclusion. Analysis of closure in its broadest sense must adapt to incorporate these rhetorical gestures, and the centrality of cadences in formal closure must be readdressed. Examples in the repertoire also include thematic liquidation (often into prolongation), through the 'elimination of characteristic motives',[85] and the destabilisation and dissolution of the main-theme zone to typically transitional characteristics, which are prioritised as a means of inferring interthematic cessation in place of a concluding cadence. Mendelssohn's music similarly invokes deferral of cadences into later interthematic functions.[86] When a cadence does not take place as expected and is instead deferred, teleology results, and the cadence occurs later than expected, often not in strict sonata-space. The cadence may instead be deferred to one of Sonata Theory's parageneric spaces, typically the coda, which has its own resulting issues for the lack of cadential articulation in the sonata-space proper. Additionally, the lack of a cadence can result in the bass progression remaining active beneath a subsequent interthematic function, which thereby produces elision of the functions, and non-congruence stemming from one function commencing while parameters from the preceding function remain ongoing.[87] The consequences of these important features are explored further in the subsequent analysis.

[83] William E. Caplin, 'Beyond the Classical Cadence: Thematic Closure in Early Romantic Music', 14.
[84] William E. Caplin, 'Beyond the Classical Cadence: Thematic Closure in Early Romantic Music', 1 n. 2.
[85] William E. Caplin, *Classical Form*, 255.
[86] Julian Horton, 'Formal Type and Formal Function in the Postclassical Piano Concerto', 103.
[87] Julian Horton, 'Formal Type and Formal Function in the Postclassical Piano Concerto', 107.

1.4: Approaches to the Analysis

For the purposes of this research, it would seem that Caplinian formal functions, much more than Hepokoski and Darcy's Sonata Theory, provides a more fruitful avenue for the analysis of Romantic syntax, given its emphasis on music's vocabulary and grammar. Encapsulating the shifts between Classicism and Romanticism however requires reassessment and modification of the theory of formal functions. Underlying these modifications is the belief that the single most significant aspect differentiating the early romantic repertoire from its classical predecessors is the considerable expansion of formal functions through proliferation, and an original and innovative arrangement of functions within themes.

Postclassical syntax often exhibits similarities with classical equivalents, yet despite the apparent likenesses, it does not fall easily within the syntactic remit of *Classical Form*. That is to say, a theme might at first resemble a period or sentence, but the interior scheme requires more flexible application than is allowed in the structures of Caplin's theory. The primary cause of this, as argued by Julian Horton, is 'proliferation'.[88] Proliferation is the propensity for nineteenth-century forms to expand through the 'propagation of functions within a broader grouping level.'[89] This is achieved by a variety of means: the expansion of individual units (a four-measure basic idea, might now become eight measures); the employment of several consecutive continuation phrases; the use of several intrathematic groupings might be identifiable, such that a compound or hybrid form has arisen; and, the piece might include several cadential attempts, with the overall result being syntactic extension.

In order to accommodate the expansion of nineteenth-century forms, it would seem best to extract Caplin's grammar, and combine it with a more fluid perspective suitable to the new repertoire. The theory underlying each intrathematic and interthematic function need not be radically different in terms of its functional identity, temporal association, and melodic-motivic character. But we must assume no notion of an expected duration and consider that each grouping might be best described as a conglomeration of several smaller units. Caplin's theory posits that the traditional eight-measure period contains a four-measure antecedent and four-measure consequent (where each of these is doubled for the sixteen-measure period); the functions of antecedent and consequent are abundant in the early nineteenth century, so maintaining these as categories, while disengaging from these supposed durations, would seem beneficial. Moreover, as we enter the nineteenth century, it is no longer the case that a period alone might constitute a theme. Instead, theory must be alert to the realisation that the theme can be constructed from several intrathematic groupings. Indeed, these can come in the form of hybrids (such as the combining of periodic and sentential elements, the antecedent-continuation) or in the form of

[88] See for example Julian Horton, 'Formal Type and Formal Function in the Postclassical Piano Concerto'.
[89] Julian Horton, 'Formal Type and Formal Function in the Postclassical Piano Concerto', 85.

compounds, where several periods, sentences, or small binary/ternary forms might be strung together to form the theme. In this latter case, the combination of several levels produces a multi-layered concept of form. In order to best understand novel Mendelssohnian practices, we must also shed our current concepts of syntactic arrangements. Analysis that best describes what is happening directly in the music, rather than an assumption of what should come next, based on what has just happened, would produce a looser sense of formal functions, more readily capable of free application, thus creating a system no longer restricted by expectation. This would allow for a plurality of functions, such as multi-continuations, or novel combinations beyond those explored as hybrids in *Classical Form*.[90] This looseness need not equate to Caplin's observation that the subordinate theme in Viennese classicism is 'loose';[91] it is not the case that all themes or interthematic functions must now be considered in these terms. Instead, these modifications call simply for a fluidity of application. Nonetheless, it should still be noted that, if Viennese classicism is largely concerned with demonstrating a disparity between a strong, tight-knit main theme, and a looser subordinate theme, then the concerns of the nineteenth-century have shifted. Postclassical sonata forms see the transfer of the 'thematic issue' away from an opposition of themes, and towards an attainment of functional tension within each individual theme. Most important of all, though, we must leave aside the expected cadential or non-cadential quality of functions, in particular concluding functions that we might expect to produce structural cadential articulation. We cannot assume that these conventions will be borne out in Mendelssohn's music, and we must be open to adapting the cadential conventions of each function.

1.5: Parameters, Aims, and Objectives

The content of this thesis is bound by a specific set of parameters. First, it attends only to Mendelssohn's sonata forms in sonata-type works, and although aspects of development analysis arise, particularly where intersection with the exposition, recapitulation, and coda occurs, the primary focus is on the expositional and recapitulatory material, and the cadences that define the interthematic functions (principally as these relate to the first and second subjects). Second, it is confined to pieces from 1825-1847. 1825 is considered the year in which Mendelssohn produced his first mature pieces (specifically Piano Quartet No. 3 and the Octet, Op. 20, although two overtures, the 'Trumpet Overture' and *Die Hochzeit des Camacho*, were also produced). Prior to 1825, Mendelssohn's sonata-form movements were modelled predominantly on Mozart and Haydn, but by 1825, Beethoven and Weber also had a significant impact.[92] The period between 1825 and the composer's death (1847) therefore accounts for seventy-four sonata-form movements, which

[90] William E. Caplin, *Classical Form*, 59-70.
[91] As observed by Julian Horton, 'Formal Type and Formal Function in the Postclassical Piano Concerto', 85.
[92] Paul Wingfield and Julian Horton, 'Norm and Deformation in Mendelssohn's Sonata Forms', 98.

can be grouped into two sub-groups each comprising three sub-categories: the private works (consisting of 'string quartets', 'keyboard works' and 'other chamber works'), and the public works (consisting of 'overtures', 'symphonies', and 'orchestral works'). From these six sets, the analysis in this thesis focuses on four, the largest two sub-categories from each of the private and public work sections: 'string quartets', comprising sixteen sonata-form movements, 'other chamber works', comprising twenty-two sonata-form movements, 'overtures', comprising ten sonata-form movements, and 'symphonies', comprising eight sonata-form movements. Therefore, the thesis accounts for fifty-six of the seventy-four sonata-form movements written post-1825 (listed in the Appendix).

Following the introduction ("Part One"), parts two and three constitute the majority of the analytical study. Both sections are divided into case studies, which align with the four categories of works outlined. "Part Two: Main Themes" focuses on an analysis of the fifty-six main themes, considering the thematic syntax, the articulation of internal and structural cadences, the prevalence of cadential articulation, the type and strength of structural cadence (where one is provided), the articulation of the form in the absence of a structural cadence, and a comparative analysis between the expositions and recapitulations. "Part Three: Subordinate Themes" features three analytical components: first, the medial caesura; second, subordinate-theme cadences, closing sections, and the EEC; and third, the ESC. Therein, the analysis is presented as two case studies, the private works and the public works (thereby combining the initial four from the main-theme section into their collective genres). The medial-caesura analysis is framed against the backdrop of Sonata Theory's list of defaults, but does not propose any agreement with their categorisations of norms or deformations. The subordinate-theme analysis presents a brief syntactic analysis, but the primary objective is to investigate how themes are structurally articulated, and how the EEC is achieved. The final element, the ESC analysis, contrasts the exposition and recapitulation analysis, with foremost attention given to the placement of the ESC, particularly movements where the ESC is advanced or deferred, to tonal disparities arising in the recapitulation subordinate-theme space and the ESC, and to movements featuring non-agreement between the EEC and the ESC. "Part Four: Conclusions", in addition to summarising the thesis' major findings, also offers a collection of whole-movement analyses, drawn from the preceding sections, that highlight, in particular, teleology, sonata-form failure, and displacement of structural cadences to parageneric spaces.

Part Two: Main Themes

2.1: Introduction and Analytical Categories

The present study of Mendelssohn's sonata-form main themes begins first with a study of the cadence, and particularly whether each main theme produces a successfully articulated structural cadence: the cadence demarcating the end of the main theme, and defining the boundary between the interthematic functions of theme and transition. Where a main theme produces a cadence, I have identified these pieces under *Closure Category 1* (see Table 2.1/1). Therein, I have distinguished a series of subcategories to delineate the degree of closure, and the type of cadence used. Those main themes that contain a *strong* structural closure, and emphatic interthematic tonic PAC cadence, are featured in *Category 1.a*. They typically exhibit structural, melodic, and harmonic support in both bass and soprano, are accompanied by aspects such as clear, declamatory rhythms, changes in texture, and feature a discernible distinction between thematic and transitional functions. Those pieces that feature a PAC, but where the articulation is weakened, are listed under *Category 1.b*. This weakened articulation can stem from functional elision, non-concurrent closure across instruments, or blurred formal boundaries. The third subtype, *Category 1.c*, refers to pieces in which a clear tonic structural closure is produced by a non-PAC cadence, such as an IAC or HC. The fourth subcategory, *Category 1.d*, refers to pieces in which a clear structural cadence is located at the end of the main theme, but the cadence (typically PAC or IAC) is non-tonic, or tonicises the parallel major or minor. Therefore, the tonality of the main theme is not supported by the cadence, with the cadence tonicising another key/mode.

The next category refers to pieces in which no structural cadence can be identified, as the conclusion of the theme dissolves into the transition. Typically, the instability of latter units in the main-theme zone impair the ability to separate main theme and transition functions and it is more suitable to speak of a main-theme zone that has 'become' the transition via the processes of functional transformation espoused by Schmalfeldt.[93] Thus, the functional boundary between theme and transition is blurred. Often times these pieces include interior cadences at the intrathematic level, but no discernible final cadential articulation at the interthematic level takes place. In the first of these *Closure Category 2* types (*2.a*), the final syntactic element of the theme comprises a consequent that fails to produce a cadence, thereby dissolving to transition, and in the second (*2.b*), a continuation that dissolves. These are not altogether dissimilar to 'The Dissolving Consequent' and 'Sentence with Dissolving Continuation Module' types considered by Sonata Theory.[94] In the case of the former, it is not always true, however, that Mendelssohn's main theme will close with the I:HC option, 'in the manner of an antecedent' with the

[93] Janet Schmalfeldt, *In the Process of Becoming*, 9.
[94] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 101-102 and 105-106.

transition beginning as a 'parallel consequent that is diverted before long into transitional processes.'[95] The preceding function of the theme may achieve stronger closure, such that P is not necessarily 'tonally underdetermined.'[96] Moreover, while Sonata Theory regards the onset of the dissolving consequent as the start of the transition, I locate the transition, in as much as possible, closest to the point of actual dissolution, thereby allowing for the identification of some initial, internal consequent units (particularly where these correspond with earlier material) under the main-theme interthematic bracket. My application of the dissolving continuation is also broader. For the most part, the dissolving continuation is not confined to a simple sentential reading. Instead, the dissolving continuation often takes place in the context of a periodic sentence, thereby occurring after an initial periodic design, reframed as an opening presentation.

Closure Category 2.c also sees similar dissolution and transformation. This dissolution is more broadly defined, as it usually takes place in more complex syntactic structures, within additional expanded syntaxes. These types of transformation therefore apply to dissolution at higher levels of multi-part themes, and larger groupings of small ternary or binary form. In particular, the specific unit(s) that are dissolving are typically initiating or medial functions. I have separated the first two categories, dissolving consequents and dissolving continuations, to ascertain the prevalence of dissolution associated with those two, specific medial/concluding functions. The third category may also contain dissolving consequents and continuations, but these functions operate at a lower level of the grouping hierarchy, as they form part of larger nested types, with the dissolution regarded as acting principally on the higher function.

For pieces in which the cadence does not materialise after the commencement of syntax specifically pursuant to a cadential end, these are grouped under *Closure Category 3*. In this sense, the cadence may be abandoned or evaded, or a specific cadential syntax may dissolve. Therefore, particularly relevant to this category are extensions, such as the 'one more time' or the expanded cadential progression, as they represent syntaxes with a specific cadential and concluding function. The pieces in this category, however, do not ultimately produce a structural cadence, despite the initial onset of a cadence phrase or cadential material. This category therefore might involve some dissolution, similar to *Category 2*, but the distinction lies in the function of the syntax that is dissolving. In *2.a* and *2.b* a specific element of syntax is identified; *Category 2.c* is more broadly defined, but in each of the pieces listed under *Category 2.c*, an initiating or medial function dissolves. The pieces in *Category 3*, however, feature a final syntax whose function is to provide a cadence, but the final harmonic progression itself fails to materialise.

Finally, if the themes in *Closure Category 1* are broadly considered functionally and harmonically closed, while the themes in *Closure Category 2* and *Closure Category 3* are comparatively

[95] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 101.
[96] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 102.

open-ended, the pieces in *Closure Category 4* (rhetorical formal closure) fall between these two distinctions. These pieces are not cadentially closed, and therefore might be considered harmonically 'open', but there are other significant melodic or rhetorical factors which identify them as functionally and formally closed. One such practice is the use of a rising melodic, possibly chromatic, line, or an ascending contour, which is often accompanied by a rise in orchestral density, tempo, and/or volume. These themes do not dissolve into the subsequent function as in *Category 2/3*, but instead these parameters act as the 'signal' for functional closure, in a manner similar to how cadences communicate functional closure and change. In particular, the pieces included in this category do not feature blurred formal boundaries; the interthematic functions sound functionally separate from each other, with the only issue being the lack of cadential bass/soprano motion.

Table 2.1/1: Main Theme Categories of Closure

Category 1		**Main theme ends with a cadence**
	1.a	Strong PAC articulation
	1.b	Weak PAC articulation
	1.c	IAC or HC articulation
	1.d	Non-tonic cadence
Category 2		**No cadence; material dissolves**
	2.a	Dissolving Consequent
	2.b	Dissolving Continuation
	2.c	Larger functional transformation and dissolving complex syntax
Category 3		**Abandoned or evaded cadences**
Category 4		**Rhetorical formal closure**

Beyond merely classifying the pieces in this study into the type or degree of closure, they must also be interrogated in terms of their syntax, particularly where this affects the presentation or arrival of the cadence. In so doing, I examine Mendelssohn's responses to the changing syntax between classicism and post-classicism. Differences between sonata practice of late eighteenth-century Viennese classicism and early nineteenth-century romanticism are rooted in these changed approaches to syntax. The single biggest factor affecting the relationship between syntax and cadences is proliferation, or novel methods of phrase expansion, as considered by Paul Wingfield and Julian Horton's study on Mendelssohn,[97] and Horton's later studies on form and syntax in the postclassical piano concerto,[98] and criteria for a theory of nineteenth-century sonata form.[99] Proliferation is defined by two tendencies: 'first, through the novel

[97] Paul Wingfield and Julian Horton, 'Norm and Deformation in Mendelssohn's Sonata Forms'.
[98] Julian Horton, 'Formal Type and Formal Function in the Postclassical Piano Concerto'.
[99] Julian Horton, 'Criteria for a Theory of Nineteenth-Century Sonata Form'.

arrangement of functions within a recognizable classical design; and second, through the propagation of functions within a broader grouping level.'[100] The analysis of Mendelssohn's sonata-form movements reveals inherent, often complex proliferation at all structural or hierarchical levels, either in terms of expansion or extension. I delineate between expansion and extension in a similar manner to Caplin (although, whereas he was mostly referring to looser classical subordinate themes, the concepts apply here across both themes). I will therefore integrate processes such as cadential evasion, expanded cadential progressions, and Schmalfeldt's 'one more time'. Further practices include truncation, and most importantly deferral.[101] Truncation represents the opposite of proliferation, where individual units are reduced or deleted, while deferral incorporates the repositioning of cadences beyond their expected location. Given the centrality of cadential examination to this study, this technique, where it occurs, will be particularly important.

Extension is a by-product of the addition of extra syntactic segments, 'after a function has already been expressed.'[102] There are several categories of extension which can be extracted from the corpus. The first, *Extension Type 1*, introduces an expanded cadential progression (ECP). Usually, the foregoing syntax fails to produce a cadence, or the implied cadence insufficiently materialises, such that extra material is required to produce the cadential goal.[103] An ECP usually begins over a tonic first-inversion chord. Similar to this, but distinct in nature is the second type of extension, *Extension Type 2*, the 'one more time' technique, wherein the 'goal of the progression' is withheld, a 'true cadence fails to materialize', and all or part of the material is repeated or repeated in variation in 'order to approach the cadence "one-more-time".'[104] This repetition and replay of material produces an extra syntactic segment, thereby extending the thematic space.

The third category of syntactic extension, *Extension Type 3*, sees the addition of any form of function (not just that of a cadence) at the end or after what was presumed to be the theme itself. As such, the preceding material is often reframed as a lower-level intrathematic grouping, rather than the totality of the theme (although it does not necessarily have to produce this demotion of function). Such examples might be the reframing of a period or sentence as the initiation phrase of a larger period or sentence. *Extension Type 4* identifies the addition of smaller segments at any point in the theme. This produces the overall effect of enlarging the thematic space, and can be used as a delaying tactic.

Expansion, on the other hand, 'arises in the process of establishing the function', and incorporates the 'internal lengthening of component members of the function.'[105] I have distinguished between two levels of expansion. The first, *Expansion Type 1*, takes place at the intrathematic level, where

[100] Julian Horton, 'Formal Type and Formal Function in the Post-Classical Piano Concerto', 85.
[101] Paul Wingfield and Julian Horton, 'Norm and Deformation in Mendelssohn's Sonata Forms', 83-112.
[102] William Caplin, *Classical Form*, 20.
[103] William Caplin, *Classical Form*, 20.
[104] Janet Schmalfeldt, 'Cadential Processes: The Evaded Cadence and the "One More Time" Technique', 3.
[105] William Caplin, *Classical Form*, 20.

expansion works to enlarge the periodic or sentential functions themselves. While these functions are often simply enlarged in the nineteenth century, expansion often takes places as a result of syntactic layering, and as such this category evidences double or compound periods, sentential periods, periodic sentences, and so forth. The second type of expansion, *Expansion Type 2*, takes place at the interthematic level, where the main-theme group itself is enlarged as it comprises larger internal formal types, such as a small binary or ternary form, or multi-sectional main-theme zones.

Table 2.1/2: Categories of Syntactic Proliferation, Extension and Expansion

Extension		
	Type 1	Expanded Cadential Progression
	Type 2	'One more time'
	Type 3	Additional segments at or after concluding functions; reframing of earlier syntax
	Type 4	Additional segments at initiating or medial points
Expansion		
	Type 1	Lower-level, intrathematic functions expanded; periodic sentences, sentential periods, double or compound periods
	Type 2	Higher-level, additional or multi-part groupings; MT1 + MT2, ternary form, binary form

As the study will also reflect on a comparative analysis between the exposition and recapitulation main themes, there are seven specific recapitulatory practices which are particularly relevant and which will be highlighted in each case study (Table 2.1/3): the first constitutes pieces in which the recapitulation is elided with the preceding development, in a manner similar to that extracted by Wingfield and Horton (procedure 1: development and recapitulation elision);[106] the second sees a disconnect between the point of thematic reprise and that of harmonic return, where the thematic material returns prior to establishment of the tonic (procedure 2: dissociation of thematic and harmonic reprise); the third references pieces significantly affected by truncation (procedure 3: truncation); the fourth denotes pieces in which the main theme is functionally separate from the transition in the exposition (because of a cadence), but is merged with the transition in the recapitulation, usually as a result of the removal of the structural cadence, or less commonly in which the subordinate themes ensues without a transition (procedure 4: main theme loses cadential function and ⇒TR/S); the fifth category delineates pieces with a reversed recapitulation, such that the full main-theme reprise takes place after the subordinate theme

[106] In their study, elision between the development and recapitulation is listed as category 8 on Table 5.2, Paul Wingfield and Julian Horton, 'Norm and Deformation in Mendelssohn's Sonata Forms' 99.

(procedure 5: reversed recapitulation); the sixth category represents pieces where there is no specific retrieval of main-theme material (particularly in the expected MT-zone position), albeit some main theme references may occur later as closing section material (procedure 6: no MT-zone in recapitulation);[107] and, finally, procedure 7 witnesses instances of melodic recomposition in the recapitulation, in which the theme is accompanied by a new counter-melody, or is transferred to a different instrument, for example (procedure 7: recomposition). Procedure 5, reversed recapitulation, privileges a reversal of the typical form-functional order over the 'double rotation' associated with the Type 2 sonata in Sonata Theory.[108] Specifically, it maintains that the reversed recapitulation is evident when precedence is given to 'rhetoric and inter-thematic function' over 'intra-thematic design, motivic process and tonal process' in light of the often unstable nature of Mendelssohn's recapitulation spaces (even in the context of the Type 3 sonata).[109]

Table 2.1/3: Exposition-Recapitulation Comparative Procedures

Procedure 1	Development-recapitulation elision
Procedure 2	Dissociation of thematic and harmonic reprise
Procedure 3	Truncation
Procedure 4	Main theme loses cadential function and ⇒TR/ST
Procedure 5	Reversed recapitulation
Procedure 6	No MT-zone in recapitulation
Procedure 7	Recomposition

[107] These main theme references in procedure 6 are distinct from category 5 because they do not perform a full reprise; instead, the closing section merely represents a cycle through some main theme material.
[108] See Paul Wingfield and Julian Horton, 'Norm and Deformation in Mendelssohn's Sonata Forms, 83-112, and James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 365-369 and 382-383.
[109] Julian Horton, 'Form and Orbital Tonality in the Finale of Bruckner's Seventh Symphony', in *Music Analysis* 37/3 (2018): 295.

2.2: Case Studies

2.2.1: Mendelssohn's String Quartets

Table 2.2.1/1: Case Study 2.2.1 Corpus (listed chronologically)

Work	***Opus***	***Movement***	***Date***
String Quartet No. 2	13	I IV	1827
String Quartet No. 1	12	I IV	1829
String Quartet No. 4	44/2	I II IV	1837
String Quartet No. 5	44/3	I II IV	1838
String Quartet No. 3	44/1	I III IV	1838
String Quartet No. 6	80	I III IV	1847

The Mendelssohn chamber works included in this study[110] derive from his so-called 'first maturity' between 1825 and 1830, and his 'full maturity' from 1837 onwards.[111] While these works can be separated into three groups, string quartets, keyboard, and other chamber works, this thesis will focus on two of these. In the first instance, the string quartets: chronologically, String Quartet No. 2, Op. 13; String Quartet No. 1, Op. 12; String Quartet No. 4, Op. 44/2; String Quartet No. 5, Op. 44/3; String Quartet No. 3, Op. 44/1; and String Quartet No. 6, Op. 80. Second, the other chamber works: chronologically, Piano Quartet No. 3, Op. 3; Octet for Strings, Op. 20; String Quintet No. 1, Op. 18; Cello Sonata No. 1, Op. 45; Piano Trio No. 1, Op. 49; Cello Sonata No. 2, Op. 58; Piano Trio No. 2, Op. 66; String Quintet No. 2, Op. 87.

[110] The present study focuses on works post-1825, and therefore does not include his childhood works up to 1825. In addition, it focuses on sonata forms within sonata-type works, and therefore does not consider pieces such as the Op. 33 Caprices for Piano, Op. 15 Fantasia, or the Op. 81 Pieces for String Quartet (given that Op. 81 was not conceived as a sonata-type).
[111] Thomas Schmidt-Beste, 'Mendelssohn's chamber music' in *The Cambridge Companion to Mendelssohn*, ed. Peter Mercer-Taylor (Cambridge: Cambridge University Press, 2004): 130.

To elucidate the issues raised in the foregoing theoretical contextualisations, I first begin with the string quartets, which comprise sixteen sonata-form movements. The analysis centres first on the twelve outer movements (included in Table 2.2.1/1) as they provide a discrete and illuminating case study. The string quartets are divided across Mendelssohn's two mature periods: the first two works, Opp. 13 and 12, written in 1827 and 1829 (and published in reverse order) form a central part of Mendelssohn's first mature output; the remaining four works belong to his full maturity, arguably initiated by the Op. 44 quartets in 1837, and concluding with Op. 80, composed just before his death in 1847.

Beginning with cadential and formal articulation: of the twelve outer movements, eight exhibit exposition main themes that successfully articulate a structural cadence. The remaining four movements include interior cadences, at the intrathematic level, some of which are PACs, but there are other factors denying the themes structural cadences. Additionally, of the four interior sonata-form movements, three contain a PAC. As eight of the twelve outer movements and the four interior movements contain cadential closure (75% overall), it is clear that Mendelssohn's string-quartet main themes are primarily articulated by structural cadences. An analysis in terms of degree of closure demonstrates that the majority of those movements with a main-theme cadence also have *strongly* articulated closure. These fall under the bracket of *Closure Category 1.a*, as seen in Table 2.2.1/2:

Table 2.2.1/2: String Quartet Main-Theme Closure Results

Category 1		
	Type 1.a	String Quartet No. 1, Op. 12/i
		String Quartet No. 1, Op. 12/iv
		String Quartet No. 4, Op. 44 No. 2/i
		String Quartet No. 5, Op. 44 No. 3/i
		String Quartet No. 5, Op. 44 No. 3/ii
		String Quartet No. 3, Op. 44 No. 1/iii
		String Quartet No. 6, Op. 80/i
		String Quartet No. 6, Op. 80/iii
	Type 1.b	String Quartet No. 2, Op. 13/iv
		String Quartet No. 4 Op. 44 No. 2/iv
		String Quartet No. 5, Op. 44 No. 3/iv
	Type 1.c	String Quartet No. 4, Op. 44 No. 2/ii
Category 2		
	Type 2.a	String Quartet No. 2, Op. 13/i
		String Quartet No. 6, Op. 80/iv
	Type 2.c	String Quartet No. 3, Op. 44 No. 1/i
		String Quartet No. 3, Op. 44 No. 1/iv

Exposition Main Themes: Closure Category 1.a

Closure Category 1.a covers five outer movements: the first movement of Opp. 12, 44 No. 2, 44 No. 3, and Op. 80, and the finale of Op. 12. These movements contain emphatic interthematic PACs, with strong bass and soprano support, and there is a clear rhetorical distinction in terms of rhythmic, melodic, and/or textural parameters, between the theme and transition. Following a slow introduction, the main theme of Op. 12's first movement comprises an asymmetrical period, with an eight-measure antecedent and expanded twelve-measure consequent. The antecedent features a four-measure basic idea, culminating on an IAC, and a four-measure contrasting idea which drives towards a cadential-$^6_4$. The consequent retrieves the basic idea, with only minor variation, and again produces an IAC, while the contrasting idea is altered. First, it is double the duration of the antecedent's equivalent, and, second, its rhythmic quality is comparably faster, pushing towards the PAC on the downbeat of measure 38. The PAC in this case follows the descending contour associated with cadences, as outlined by Caplin.[112]

The Op. 12 finale (the design of which is outlined in Table 2.2.1/3) begins with tonal disturbance and syntactic ambiguity. The first section of the movement is unclear in its formal function, and, together

[112] William E. Caplin, 'The Classical Cadence: Conceptions and Misconceptions'.

with the choice of C minor as its tonality, we might first assume that the fourteen-measure section will merely represent an off-tonic introduction to a sonata-form based in the expected home key of E-flat major. Moreover, in addition to commencing off-tonic, the movement does not begin over C minor root harmony (as the movement opens with a chord on the dominant), and a tonic chord is not provided until the PAC in measure 14. The movement does not subsequently move to E-flat major, however. The tonal ambiguity persists well into the movement, encompassing the entirety of the sonata form, and the global tonic is only recovered in the coda. Moreover, as becomes apparent later in the recapitulation, elements of this opening section are reprised, meaning that there is either a multi-part main theme or an introduction that is brought into the sonata space. Regardless of this functional ambiguity, the section concludes in measures 13-14 with an emphatic C minor PAC. The ensuing section (whether this is considered the main theme proper, or a main theme part two) initially presents a period, comprised of an antecedent and consequent. The antecedent is articulated by a C minor half cadence, while the consequent, almost double the length of the antecedent, first presents two IACs, in measures 22 and 24. Importantly, these IACs are in E-flat major, meaning that they do not support the tonic of the theme (C minor), but instead confirm the global tonic of Op. 12 itself. Any notions that the global tonic has finally been achieved are short-lived, as the E-flat major IACs do not represent the main-theme structural closure. The consequent phrase, although not specifically open-ended considering that there are two IACs, is nonetheless concluded weakly, and so following the periodic design, a continuation phrase is added, thereby reframing the antecedent and consequent as a presentation with periodic characteristics. This follows Vande Moortele's concept of the 'large-scale sentence with periodic presentation',[113] where, unlike the classical presentation which does not include a cadence, the inclusion of the cadence here is a by-product of music's expansion at the beginning of the nineteenth century, and the addition of formal/syntactic levels. The presentation therefore has cadential content even if not cadential function. Following the periodic presentation in Op. 12/iv, the continuation retrieves C minor, driving towards a very emphatic C minor PAC (the main theme's structural cadence) at measures 34-35, reminiscent of the PAC in the opening fourteen-measure section. Neither of the two C minor PACs follow the so-called characteristic cadential descent; instead, Intro/MT1 and MT2 both feature a rising step-wise motion, followed by *sforzando* marked chords. Importantly, the additional segment, the continuation phrase, features a marked increase in momentum, particularly apparent following the languorous IAC repeat. Both the ascending melody line and the increase in rhythmic activity and propulsion towards a more emphatic cadence are typical of Mendelssohn's expanded and burgeoning syntax, and postponement of his structural cadence.

[113] Steven Vande Moortele, 'In Search of Romantic Form', 412-413.

Table 2.2.1/3: Quartet No. 1 in E-flat Major, Op. 12/iv, Main-Theme Syntax and Cadences

Syntax	Intro vs MT1	MT (or MT2)					
		Presentation				Continuation	Cadence
		Antecedent	Consequent				
Cadences	i:PAC	i:HC		III:IAC	III:IAC		i:PAC
M.	1 14	18		22	24		34-35

Two further examples of *Category 1.a* contain emphatic PACs after the onset of an expanded cadential progression (ECP). A representative syntactic structure for both examples is featured in Table 2.2.1/4. The first, the opening movement of Op. 44 No. 2, is periodic, containing an eight-measure antecedent articulated by a half cadence at measures 8-9, and a consequent which is open-ended thanks to its inability to produce a structural cadence, thereby necessitating and leading to an ECP at measures 17-18. The ECP first drives towards a cadence at measures 20-21, but this stalls on V. A second attempt is then initiated, with the resulting PAC (inclusive of descending contour) located on the downbeat of measure 25. As with the finale of Op. 12, where the consequent was closed weakly by non-tonic IACs, and further syntax was necessitated to achieve full closure, the 'extra' syntax here, the ECP, features a comparative increase in energy and rhythmic activity, as if the material requires a supplementary push in momentum to drive towards the structural closure.

The first movement of Op. 44 No. 3 employs a similar periodic structure. An enlarged ten-measure antecedent produces a half cadence, while the consequent (initially retrieving the basic idea in D-flat minor, with the ensuing contrasting idea correcting back to the tonic) fails to cadence and is again left open-ended. An ECP is launched at measures 18-19. The ECP first produces an evaded PAC in measure 28, and the material is spun-out, ultimately producing an E-flat major PAC shortly thereafter in measure 32. The ECP, particularly between the evaded PAC and the structural PAC, continues to propagate the typical increased drive in momentum associated with extensions, and additional segments of cadential syntax. The cadential contour in this case is loosely descending, although the range is fairly compact here, and is not as apparent as earlier examples.

Table 2.2.1/4: Syntactic Structure of Main Themes: Op. 44 No. 2/i, and Op. 44 No. 3/i

Syntax	Main theme		
	Antecedent	Consequent	ECP
Cadences	HC	-	PAC

The final example to contain a main theme PAC is the first movement of Op. 80 (Table 2.2.1/5). A syntactic reading of this piece must first acknowledge the contrasting style employed in Op. 80, when compared to Mendelssohn's earlier works. Todd has commented on Op. 80's distinctive character, which stands in opposition to the stylistic finesse observed in the Op. 44 quartets.[114] Cadential deferral is evidenced in much of Mendelssohn's earlier quartets, but Op. 80 presents a more radical case study of this observation. The first movement's exposition contains only one unequivocal structural cadence, located at the end of the main theme. Therefore, despite the emotional turbulence and tragic affect associated with the piece, its first-movement main theme nevertheless evidences cadential closure, and is in fact classified as *Closure Category 1.a*.

Table 2.2.1/5: Quartet No. 6 in F Minor, Op. 80/i Main-Theme Syntax and Cadences

Syntax	Main theme									
	Antecedent			Consequent						
	Basic idea	Contrasting idea		b.i.	c.i.	Cadence	OMT	OMT		OMT
Cadences			HC			*1st attempt*			V-vi	PAC
M.	1	9	15	16	23	29	31	33	37	41

The movement opens with two contrasting ideas, the first eight measures in duration, and the second six measures, which together form an antecedent articulated by a half cadence. The consequent, beginning in measure sixteen, retrieves the basic idea and contrasting idea, albeit the consequent's contrasting idea is less fragmentary, as it does not enter imitatively, and is instead more lamentingly lyrical. Measures 29-31 do not produce the expected cadence, and are repeated in measures 31-33, again without cadential function. This precipitates a cadential expansion, which is formed over V in first inversion, from the second half of measure 33 onwards. As with other cadential extensions, there is an increase in rhythmic activity. The violin I uses quavers exclusively, and the remaining three instruments follow suit from measure 37 (converting minims to a combination of crotchets and, predominantly, quavers), generating a build-up of momentum, and pushing forward the cadential trajectory. The point at which momentum is generated across all instruments (measure 37) is precipitated by the movement of the harmony and a brief cadential event. With dominant harmony at the end of measure 36, the possibility of a tonic resolution is presented, but the subsequent harmony moves instead to vi on the downbeat of measure 37, thereby producing a deceptive cadence. The by-product of the deceptive cadence is more cadential syntax, in an attempt to achieve the PAC. This syntax heralds the increased rhythmic activity, which propels the material further until the PAC is finally produced on the downbeat of measure 41. Again,

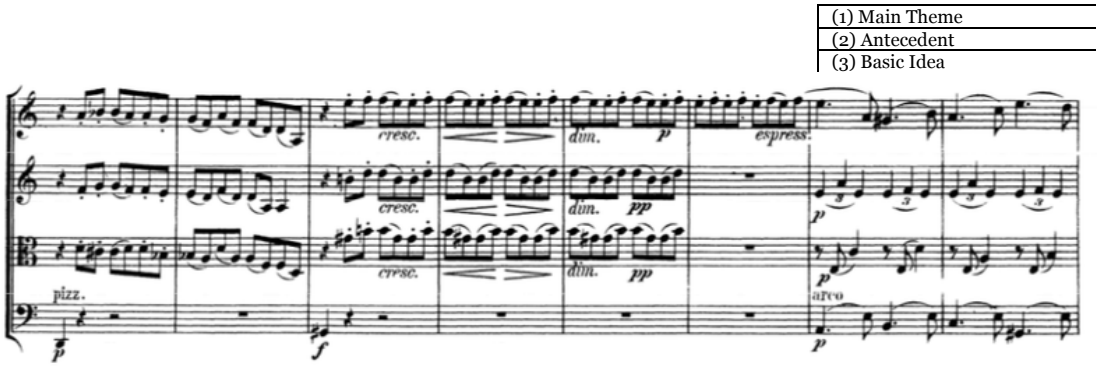
[114] R. Larry Todd, *Mendelssohn: A Life in Music*, 563.

the range of the cadence is quite compact, and features short ascending and descending scalic four-quaver segments. The final three segments (equating to the final twelve quavers of the theme) do form a largely descending motion, so we might consider this to be loosely descending.

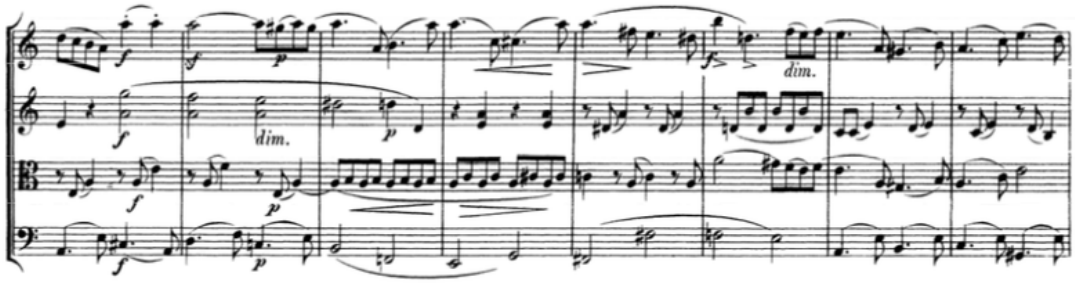
Exposition Main Themes: Closure Category 1.b

While the movements in *Category 1.b* also contain structural cadences, unlike their counterparts in subtype *a*, their articulation is weaker. In the case of Op. 13's finale, as shown in Example 2.2.1/1, the theme comprises an antecedent, articulated by a half cadence, and an open-ended consequent, followed by an additional eight-measures attempting to cadence: an evaded cadence and a 'one more time'. The OMT provides a i:PAC on the downbeat of measure 52. The cadence is supported by dominant to tonic motion in the bass, but is unsupported in the violin I, as the melodic material covers the cadential articulation. The melodic line features the cadentially-typical descent, but continues into the transition, and the two interthematic sections are elided in the soprano, thereby diminishing slightly the distinction between theme and transition. Also lessening the effect is the rise in momentum in the two cadential phrases. As the rhythmic activity begins to increase in the latter stages of the theme, this creates a greater continuity between theme and transition. The elision in the soprano therefore heightens the concealment of the cadential demarcation and the division between the two action spaces.

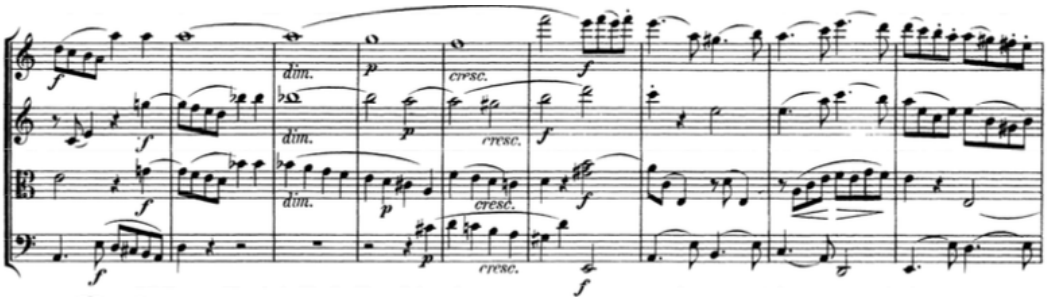
Example 2.2.1/1: Quartet No. 2 in A minor, Op. 13/iv Main-Theme Syntax



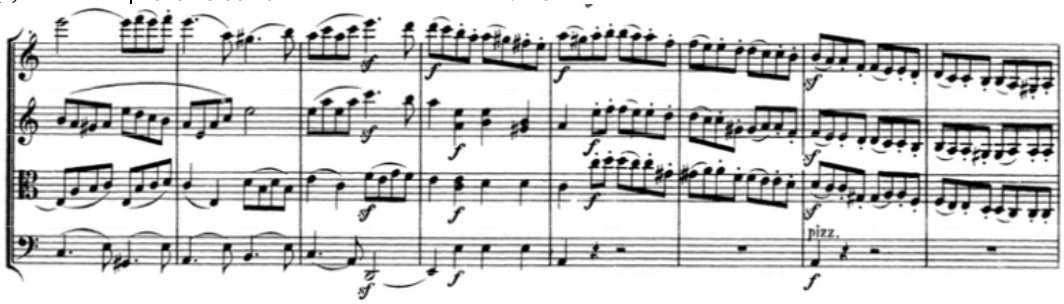
(1)
(2) Consequent
(3) Contrasting Idea | Basic Idea



(1)
(2) Cadence (evaded)
(3) Contrasting idea



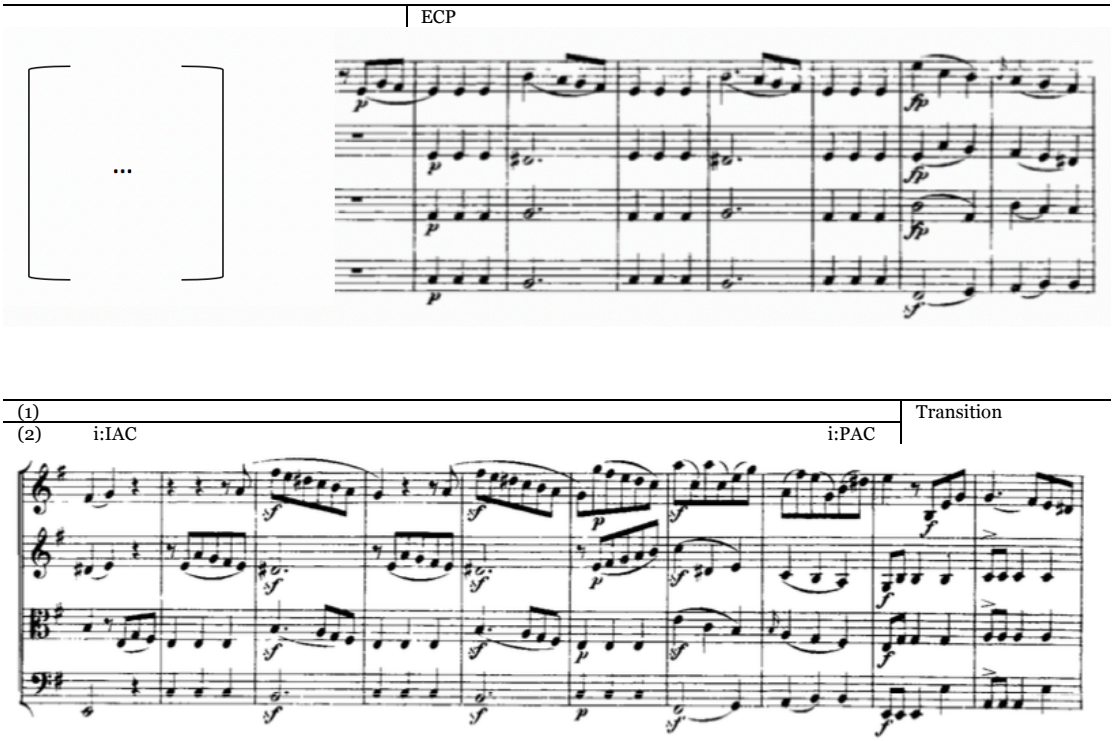
(1) ↔ Transition
(2) 'One more time' | i:PAC



The PAC in the finale of Op. 44 No. 2 (Example 2.2.1/2), on the other hand, is articulated well in the soprano but is undermined by activity in the lower strings. The main theme opens with a compound basic idea in measures 1-9. A continuation phrase (measures 10-17) follows, with the cadence initiated in measure 18. However, the cadence is interrupted in measure 21, and an ECP must follow at measure 23 to correct the course of the material. An IAC materialises at measure 31 instead of the expected PAC, so the material tries again to cadence. The ensuing section repeats the cadential material, but the 'melody' is now transferred into the lower strings and is set against a faster quaver melody in the upper strings. This repeat not only helps to turn the theme towards another attempted PAC, but the new material in the upper strings is comparably faster than the first half of the cadence. The character of the main theme up to the interruption is spritely and agitated (as in its tempo marking, *Presto agitato*), but the interruption derails

not only the cadence but the movement's momentum also. This energy is arguably retrieved from measure 32 onwards, and helps to propel the theme towards its PAC. However, despite the emphatic nature of the ECP/'one more time', the tonic resolution is undercut by the re-emergence of the marked double quaver-double crotchet rhythm (taken from the harmony of the opening phrase) placed underneath the soprano Î, eliding the main theme with the transition, as the tonic chord acts as both culmination for the theme and initiation for the transition. The second part of the ECP does initially feature some patterns of descent, but the final two measures, and the concluding V-I feature ascent instead.

Example 2.2.1/2: Quartet No. 4 in E Minor, Op. 44 No. 2/iv ECP and i:PAC

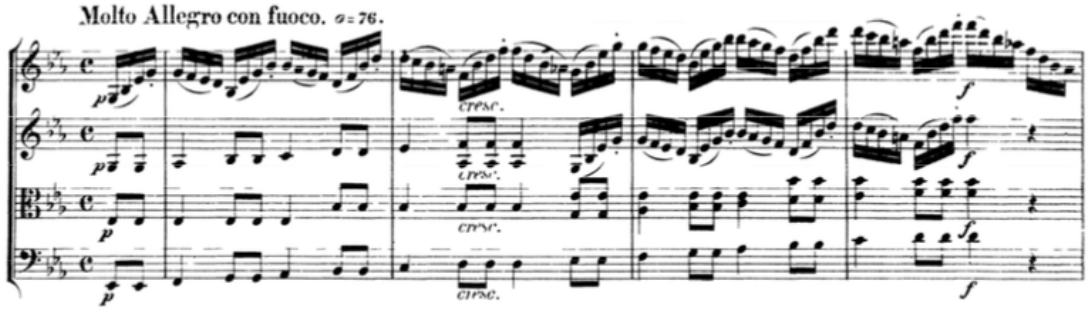


The Op. 44 No. 3 finale (Example 2.2.1/3) features strong articulation in both soprano and bass, however, chord I acts as both the chord of closure for the main theme, and the initiation of the transition, which immediately retrieves some of the interior main-theme material (corresponding to measure 5), thereby producing an elision between the main theme and the transition. Elsewhere, the relationship between the syntax and cadences is interesting. Comprised of a small ternary form, the opening A section is short and more rudimentary, featuring only what appears to be a presentation phrase, including a statement and repetition (which appears to conclude with a type of cadential content, even though it lacks cadential function). The contrasting middle proceeds as a fully-fledged sentence, but the continuation produces a half cadence that seems to tonicise C minor. A^1 retrieves the opening A presentation, here furnished with a continuation and a cadence that produces the expected I:PAC in E-flat major. Both the

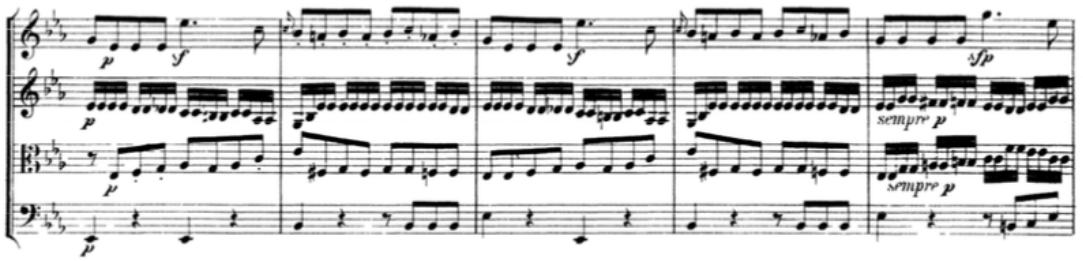
continuation and cadence feature several descending figures, thereby aligning with the typical cadential contour.

Example 2.2.1/3: Quartet No. 5 in E-flat Major, Op. 44 No. 3/iv Ternary Form and I:PAC

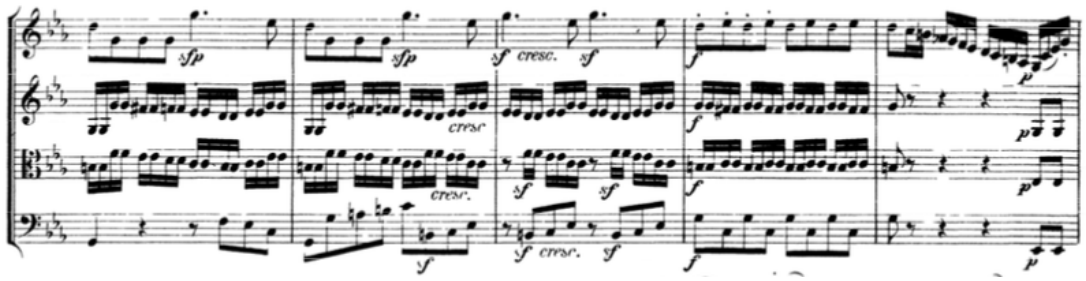
(1) Main Theme	
(2) A	
(3) Statement	Repetition



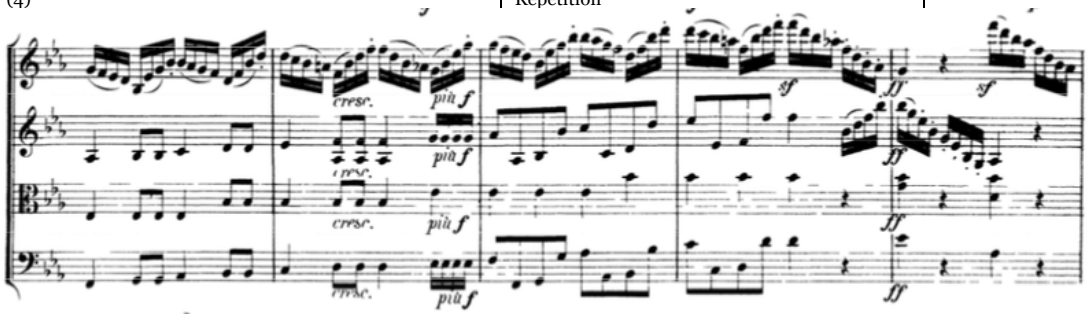
(1)		
(2) B		
(3) Presentation		Continuation
(4) Statement	Response	

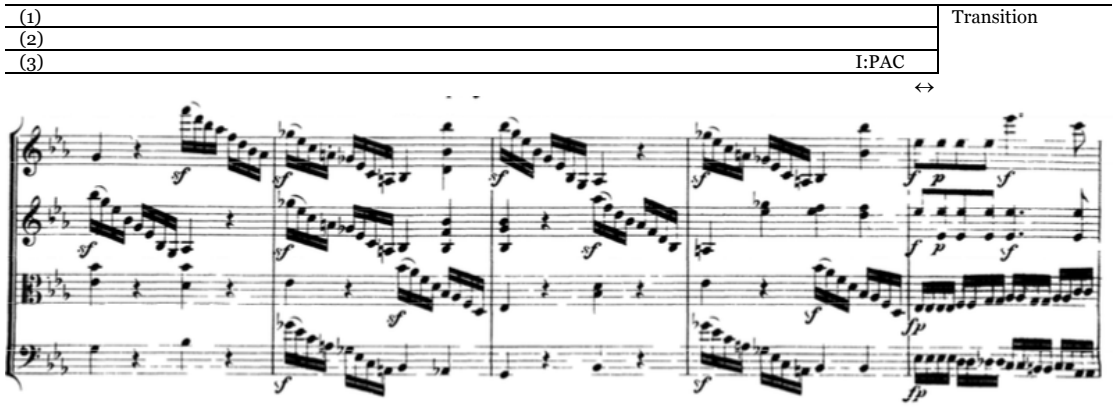


(1)		
(2)		A¹
(3)	vi:HC	Presentation
(4)		Statement



(1)		
(2)		
(3)		Continuation
(4)	Repetition	





Exposition Main Themes: Closure Categories 2.a and 2.c

The second category in the study comprises movements in which no structural cadence can be identified as a result of a dissolving consequent, *Category 2.a*, and larger functional transformation processes, *Category 2.c*. Although Sonata Theory, in the case of the dissolving consequent, leans towards the view that the start of the dissolving consequent is the moment of transition arrival,[115] I have pinpointed the start of the TR at the moment where the dissolution itself takes place, thereby allowing for the identification of some consequent syntax. Of the outer movements, a dissolving consequent is evidenced in the opening movement of Op. 13, and the finale of Op. 80.

The entry of the main theme's primary melodic material in Op. 13's first movement is thrice delayed (Table 2.2.1/6). The movement begins with an ambiguity over whether the initial eighteen measures represents an introduction or theme. While the decision for this to be considered an introduction has been made by measure 19, this does not mean that the theme is then forthcoming. A further eight measures of loosening strategies can be discerned, as shown in Table 2.2.1/6:

Table 2.2.1/6: Quartet No. 2 in A Minor, Op. 13/i Main-Theme Syntax

Syntax	Introduction	Main-theme group							
		Linking function	*Ana-crusis*	Main Theme			*(ana-crusis)*	Main theme contd.	
				Antecedent				Consequent	
				b.i.	c.i.			b.i.	*... dissolves*
Cadences						HC			
M.	1	19	24	27	31	35	38	42	

[115] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 70.

Measures 19-23 represent a link between the introduction and the theme, in the form of a short, thematic-introduction-like passage. Ending with a standing on the dominant, the movements is poised for the theme; but again, this is denied. A further three measures, 24-27, produce an anacrusis, located in the violin II, viola, and cello. The functional stability of the theme is achieved, finally, at the upbeat to measure 27. There might be some tendency here to consider these loosening strategies as a form of the *'Double Introductory Gestures'* espoused in Sonata Theory's 'P^{0}- and P$^{1.0}$-Modules/Themes.'[116] For the most part, though, they seem to have labelled these modules in pieces where no formal introduction takes place (instead, the P-modules act as initiating, introductory gestures). I am reluctant therefore to engage them here, given that an official introduction is present in Op. 13/i, and it seems best merely to see these as loosening and delaying strategies. Thus, in light of the various deferrals of main-theme presentation, the sense of a tight-knit main theme, so pivotal to formal functions, is dispelled, and we are forced to continually reassess the functional identity of the material.

Once underway, the theme begins with an eight-measure antecedent, comprised of a four-measure basic idea presented in violin I, and a four-measure contrasting idea, leading to a half-close at measure 34. The anacrusis is repeated in measures 35-37, before the consequent retrieves the basic idea material of the antecedent. Soon after the onset of the contrasting idea, the periodic structure dissolves. This theme, therefore, lacks a final structural cadence because of the dissolution of the consequent. This not only elides the main theme with the beginning of the transition, but thereby undermines the boundary between the two functions. Ultimately, it is the immediate repetition of the contrasting idea (where measures 44-45 repeat, with minor alterations, measures 42-43), its subsequent liquidation, and further increases in energy (associated with transitions), which signals the end of the thematic function. Thus, the analysis of the material is dependent on the identification of transitional rhetoric, rather than the structural cadence, for the demarcation of the transition function. Moreover, within the so-called 'sonata space' of the movement,[117] this denial of thematic cadence means that there has, as yet, been no PAC in the tonic. Given that we might expect the ensuing transition to modulate, this poses doubt over whether the exposition contains any form of tonic cadence, other than the antecedent's HC in measure 34.

Similarly, the finale of Op. 80 (Table 2.2.1/7) lacks a structural cadence. Internally, the theme is of an unorthodox periodic design. The initial antecedent leads to a half cadence in measure 9, but what follows is a postcadential standing on V, a codetta. The consequent, beginning in measure 17, initially corresponds with the antecedent, but the material of the contrasting idea deviates from measure 24 and the unit is extended, leading onto flat vi. The codetta is retrieved, but after six measures the material begins to dissolve, and transitional rhetoric takes over. The consequent is therefore open-ended,

[116] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 86-91.
[117] As opposed to parageneric spaces, as defined by James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 281.

producing no cadence, and engenders the dissolution of the main-theme group into the transition. For both of these examples, this means that the half cadence found at the end of the antecedent is both an interior cadence at the intrathematic level of each main theme, and also the only point of closure found within the main-theme group.

Table 2.2.1/7: Quartet No. 6 in F Minor, Op. 80/iv Main-Theme Syntax and Cadences

Syntax	Main theme						⇒ TR
	Antecedent			Consequent			
	Basic idea	Contrasting idea	*Codetta*	Basic idea	Contrasting idea (extended)	*Codetta*	
Cadences		HC			♭vi		
M.	1	6	9	17	22	30	

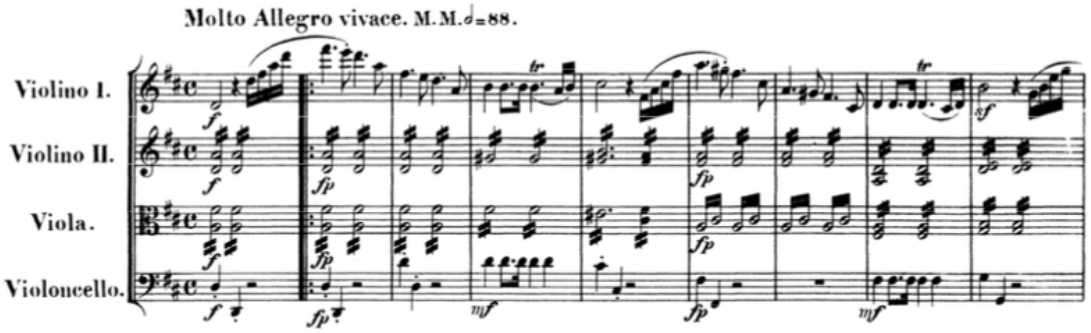
The next category evidenced in the outer movements omits the structural cadence as a result of functional transformation acting on more complex main-theme structures. In the case of Op. 44 No. 1's opening movement (Example 2.2.1/4), the material is a small ternary form, as follows: A, TR⇒B/contrasting middle, A^1⇒TR. The A section, a sentence, concludes with a I:PAC. The subsequent material, initially suggestive of a transition, proceeds as a contrasting middle fashioned as a looser sentence. The continuation culminates on V/vi as a substitute for V. Following a brief retransition, the A^1 section retrieves the opening four-measure statement from the A material, but the ensuing response phrase transforms to transitional rhetoric. Although we cannot speak to whether this movement features a descending cadential contour (as there is no cadential phrase), it is worth noting that the penultimate function in the B section (directly preceding the A^1 arrival) features an ascending chromatic line, which is important in the context of pieces outside the string quartet genre.[118]

The I:PAC presented in measures 12-13 at first functions as a structural cadence, but the continuation of thematic material thereafter in the contrasting middle and A reprise changes its hierarchical status, downgrading it from a structural cadence at the interthematic level to an interior, intrathematic cadence. Nonetheless, despite its initial change in hierarchy, it remains the only articulated PAC in the main-theme group. More broadly, the single tonic PAC occurs early (measures 12-13) in an otherwise large exposition. This echoes the design found by Schmalfeldt in Op. 49.[119]

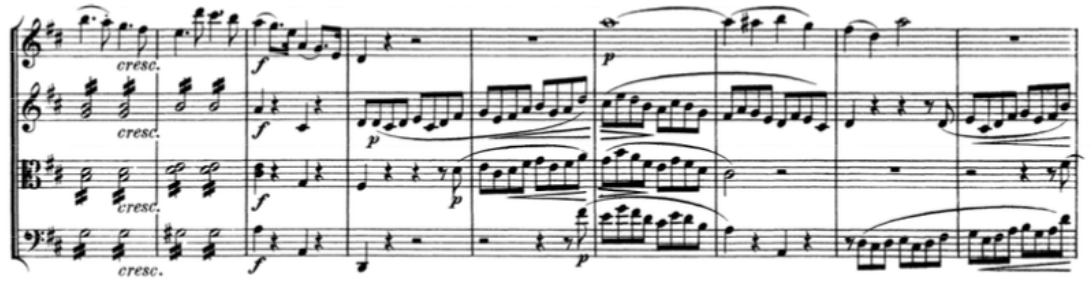
[118] This is an important feature which will be considered in relation to pieces such as the overtures *Meeresstille und glückliche Fahrt, Die schöne Melusine,* and *Ruy Blas.*
[119] Janet Schmalfeldt, *In the Process of Becoming*, 164-173.

Example 2.2.1/4: Quartet No. 3, Op. 44. No. 1/i Main-Theme Syntax

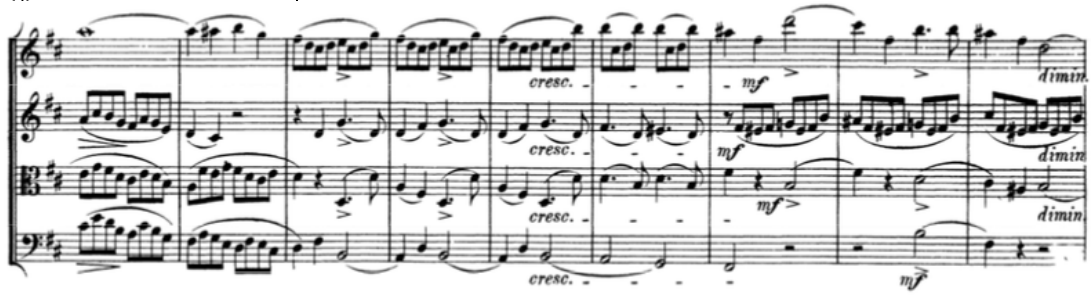
(1) Main Theme		
(2) A		
(3) Presentation		Continuation and cadence
(4) Statement	Response	



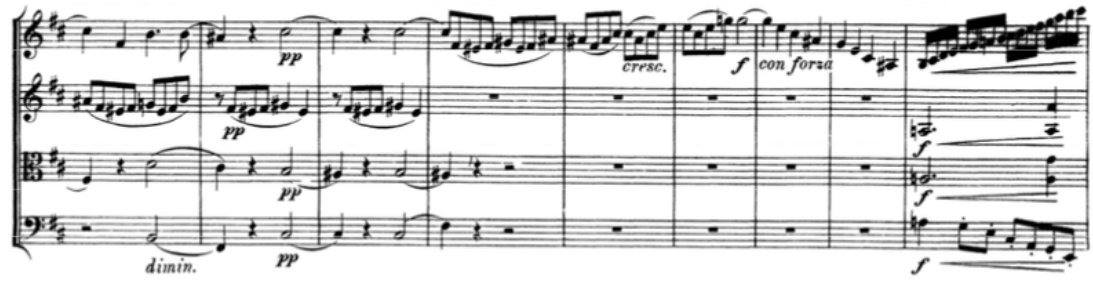
(1)			
(2)		Transition ⇒ B/CM	
(3)	I:PAC	Presentation	
(4)		Statement	Repetition



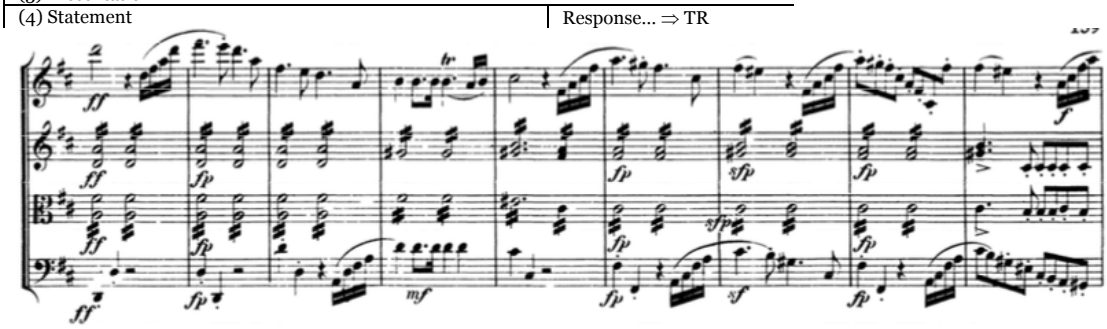
(1)	
(2)	
(3)	Continuation
(4)	



(1)		
(2)		Retransition
(3)	V/vi	
(4)		



(1)	Transition
(2) A¹	
(3) Presentation	
(4) Statement	Response… ⇒ TR



The Op. 44 No. 1 finale also contains a small ternary form main theme (Example 2.2.1/5). The movement opens with what appears to be an IAC cadence. This four-chord *Presto con brio* statement is certainly characteristic of a cadential unit; but it fails to meet Caplin's requirements for a cadence, as he discusses in relation to Ratner's similar suggestion regarding the Jupiter Symphony's third movement.[120] Form-functional theory recognises that although a segment of material might have cadential content, it does not contain cadential function. Given that this gesture is acting in an initiating capacity, cadential function cannot be applied. From the standpoint of measure 2 (where the main theme proper begins), it seems likely that this gesture is merely part of an upbeat-style introduction. Certainly, in the context of the main theme's A section, which is comprised of a loose period, the consequent does not retrieve this quasi-cadential unit. The initiating gesture, at this point, stands outside the sonata form.

One possible analytical explanation invokes Sonata Theory's P⁰ module terminology. Although they are typically situated in Allegro movements, according to Sonata Theory a P⁰ module is defined as a 'brief, different Allegro idea, perhaps an opening flourish or other initializing gesture, that in some way prepares us for it.'[121] The opening gesture in Op. 44 No. 1/iv therefore acts in a way similar to the P⁰ module Hepokoski and Darcy espouse.

The A section's antecedent contains a tonic half cadence, while the consequent, diverted to E minor, concludes with an E minor Phrygian half cadence, and is therefore left open-ended (unlike Op. 44 No. 1's first movement, where the A section is a closed, discrete syntactic unit itself). The interior section of material, labelled as a contrasting middle, also divides into antecedent and consequent functions (albeit here with interior sentential features), in which the antecedent, unusually, contains a perfect authentic cadence, while the consequent, augmented with an additional four-measure extension, is left open-ended because it fails to produce a cadence. As such, this contrasting middle falls outside Caplin's definition as it does not end with a half cadence. Given that this section clearly functions as interior, contrasting

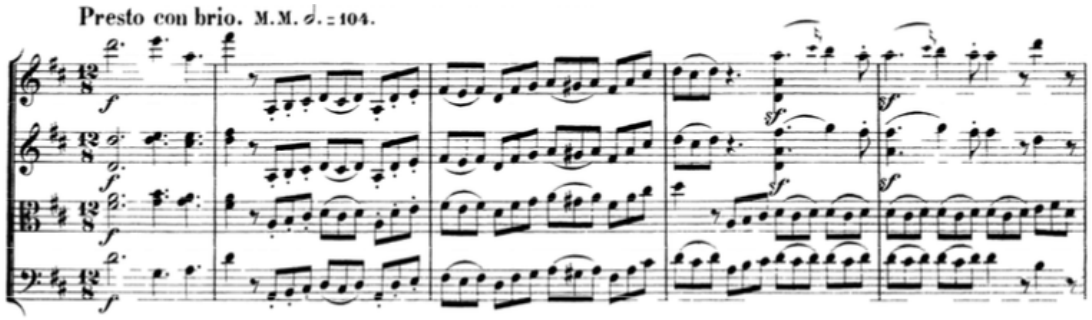
[120] William E. Caplin, 'The Classical Cadence: Conceptions and Misconceptions', 83.
[121] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 86.

material, I would argue that, in this repertoire, the contrasting middle does not have to be dominant-defined.

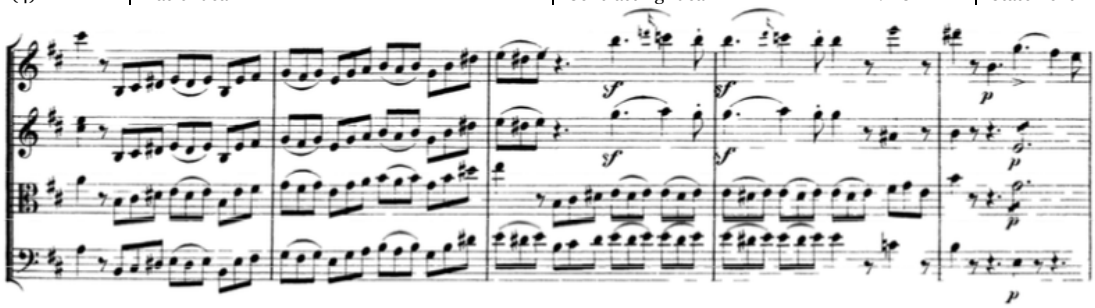
The opening introductory gesture returns with the A material, bringing the P° module into the sonata space. The A reprise quickly loses its structural integrity, dissolving to transition, therefore meaning that the interior antecedent I:PAC (located in the B section) is the strongest articulated cadence in the main-theme group, despite being a cadence of limited scope. Although the outer movements of Op. 44 No. 1 both contain processes of 'becoming', and therefore do not have structural closure, they do nonetheless contain interior cadences.

Example 2.2.1/5: Quartet No. 3, Op. 44. No. 1/iv Main-Theme Syntax

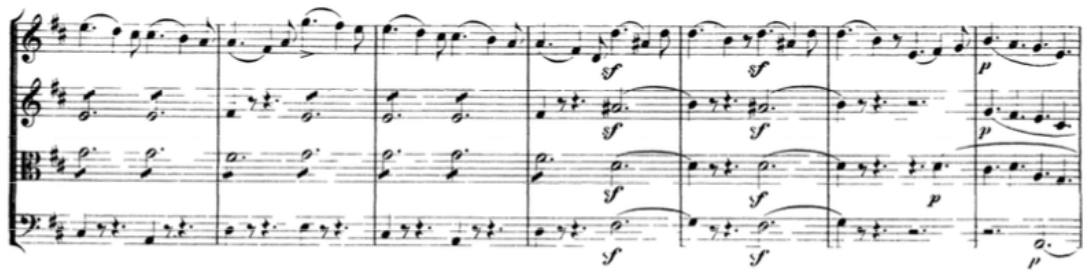
(1) P° (I:IAC?)	Main theme	
(2)	A	
(3)	Antecedent	
(4)	Basic idea	Contrasting idea

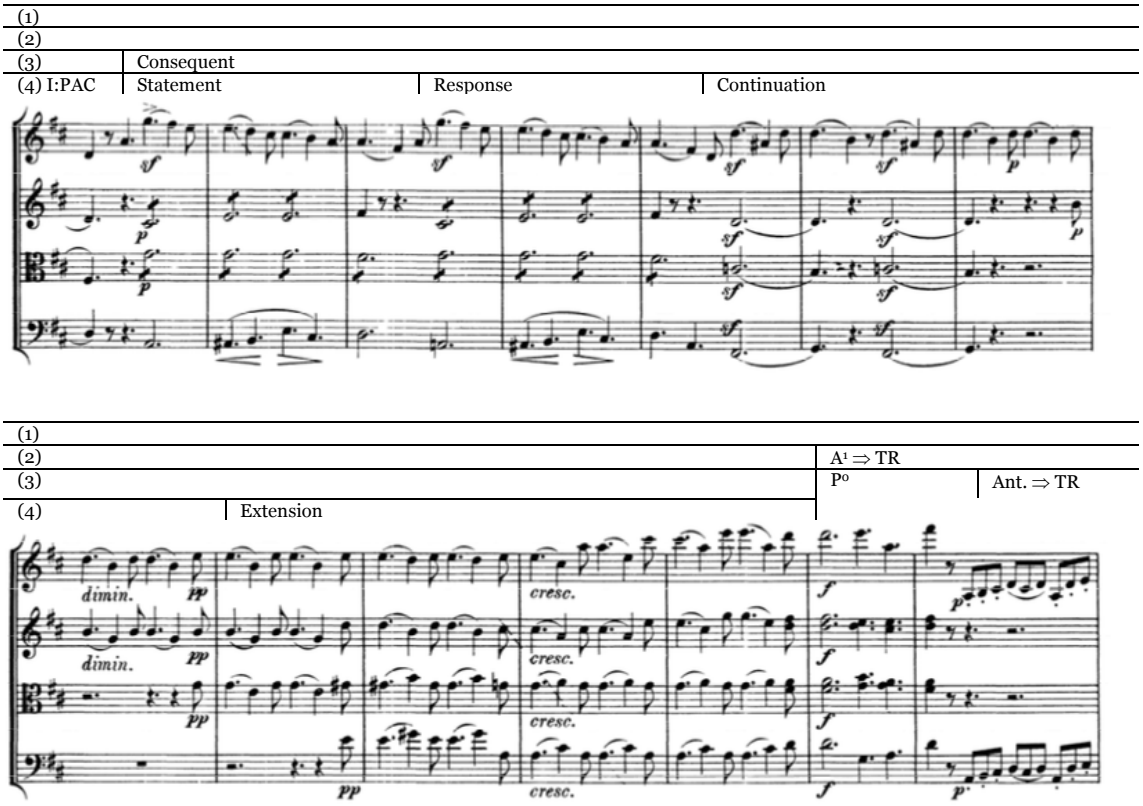


(1)				
(2)				B/CM
(3) I:HC	Consequent			Antecedent
(4)	Basic Idea	Contrasting Idea	ii:HC	Statement



(1)		
(2)		
(3)		
(4)	Response	Continuation and cadence





Exposition Main Themes: Interior sonata form movements

The remaining four movements in the case study are the sonata-form interior movements of the Op. 44 and Op. 80 quartets. The first themes of the Scherzo of Op. 44 No. 3 and the Adagio of Op. 80 both contain emphatic PACs (and descending cadential contours) and are thereby catalogued under *Closure Category 1.a*. The Scherzo of Op. 44 No. 2 is registered under *Closure Category 1.c*. The periodic design of the Scherzo's main theme produces a half cadence at the end of measure 8, but the consequent is weakened by a termination on an IAC, rather than a PAC. Additionally, the consequent's contrasting idea features minimal movement overall, and the final motion is an ascent to $\hat{3}$, so this does not conform to the typical cadential descent.

The third movement of Op. 44 No. 1, *Andante espressivo ma con moto*, is perhaps the most striking interior movement in the string quartets in terms of cadential treatment. The syntax seems to follow a loose sentential design. Two melodic ideas (*a* and *b*), each four measures in duration, are presented over the opening 24 measures: *a*, *a*, *b*, *a*, *b*, *a*, hinting at a possible rounded binary ancestry. The initial double-*a* idea loosely follows an eight-measure presentation, with an interior statement and response. A twelve-measure continuation follows, with fragmentation based on *b*, *a*, *b*. Finally, the last *a*

appearance is fashioned as the final cadence of the theme (inclusive of typical descending contour). What is most interesting, however, is that each four-measure idea achieves a cadence, either a HC or PAC. The material, therefore, with each cadence highlighted, is as follows:

Table 2.2.1/8: Quartet No. 3 in D Major, Op. 44 No. 1/iii Main-Theme Syntax and Cadences

Syntax	Main-theme group					
	Presentation		Continuation			Cadence
	Statement (*a*)	Response (*a*)	Frag. (*b*)	Frag. (*a*)	Frag. (*b*)	(*a*)
Cadences	HC	PAC	HC	PAC	HC	PAC
M.	4	8	12	16	20	24

The cadential analysis seems to be at odds with the initial syntactic reading. Allowing for the presentation with perfect authentic cadence expounded by Vande Moortele, and presented in the earlier discussion, there is nonetheless a series of cadences throughout the continuation, most notably the middle PAC. In particular, the opening statement idea flouts the principle that an initiating gesture cannot have a cadential function given that cadences are seen as closing functions. If the opening and closing movements of this quartet are noteworthy for their lack of final cadence (both saw their cadences removed through functional transformation), then the interior sonata-form movement more than makes up for this, with an over-abundance of intrathematic cadences, and an emphatic final PAC (*Closure Category 1.a*) in measure 24.

Syntactic analysis

These cadential practices are explicable in relation to techniques of syntactic expansion, which provide a context for understanding how and when a cadence is realised, beyond merely identifying whether each movement contains a structural cadence. Moreover, this allows us to grasp the way Mendelssohn's syntax evolves in the string quartets, and the larger processes that this might produce in his other works. The analysis of the string quartets' thematic syntax shows a microcosm of Mendelssohn's prolific extension and expansion techniques. The four categories of extension are relevant for this case study. *Extension Type 1*, encompassing themes with an ECP, is present in three examples: the opening movements of Opp. 44 No. 2 and 44 No. 3, and the finale of Op. 44 No. 2. In the case of Op. 44 No. 2's opening movement, the periodic design is extended by the consequent's failure to produce a cadence. The ECP is necessitated in an attempt to bring about this structural closure. The ECP itself, however, is further extended after stalling on V. The second attempt, which does ultimately produce the PAC, therefore extends the main-theme

action space. The first movement of Op. 44 No. 3 operates similarly with an antecedent + consequent + ECP. As the antecedent and consequent are larger though, it is also possible to speak of a sentential antecedent and sentential consequent. The basic idea of the antecedent provides for a statement + response presentation, while the contrasting idea equates with a continuation and cadence. The same is true for the consequent, although the cadence is not evidenced, thereby producing the ECP.

The syntax of Op. 44 No. 2's finale is different, as the theme is constructed predominantly of a compound basic idea + continuation hybrid. The enlarged sixteen-measure zone of the basic idea + continuation is extended further as the result of an interruption in the cadential material. Furthermore, the material is not only extended by this short interruption, but through a larger ECP that is required to correct the material's trajectory. The sixteen-measure ECP, nearly the same length as all of the forgoing thematic material, represents a moment of significant cadential delay. The material's initial drive towards an IAC, instead of a PAC, further delays the moment of tonic resolution. Indeed, even when the PAC is eventually realised, the tonic chord is elided with the transition, significantly undercutting the effect.

The second type of extension involves the elongation of the thematic zone through the addition of 'one more time' modules. As we have just seen, the finale of Op. 44 No. 2 contains a small element of this, through the spinning out of the ECP. The finale of Op. 13, however, is a clearer example. Again, the consequent fails to cadence, but rather than starting a new cadential unit based over a first-inversion tonic (as in the ECP), the material spins out the content from the consequent, extending the thematic zone by an additional eight measures.

The third type of extension applies to Op. 12's finale, where material is reassessed at a lower-level function than initially perceived. The main theme's period is reframed as a presentation, largely produced through the failure of the interior consequent to provide a PAC (recalling that measures 22 and 24 only supplied two III:IACs). An additional segment is necessitated, taking the form of a continuation. As I noted in the cadential analysis earlier, the 'large-scale sentence with periodic presentation'[122] allows for syntactic extension, and therefore the amplification of the main-theme zone.

The final type of extension, *Type 4*, introduces smaller, additional segments to any point of the main-theme material, and is not limited to extension at the end of the theme zone. The first movement of Op. 13 is the obvious example. In this instance, rather than cadential deferral, the movement provides thematic deferral through the continuous delays to the basic idea's entry. As explored earlier, this is particularly apparent with the eight-measure loosening strategy: the initial link between the introduction and main theme and the ensuing anacrusis. These extra segments destabilise the theme's entry, and also enhance the thematic action space. The additional repeated anacrusis between the antecedent and consequent is a further loosening strategy, another means of delayed thematic entry, and an added

[122] Steven Vande Moortele, 'In Search of Romantic Form', 412-413.

amplification of the theme. This theme therefore seems considerably more unstable in syntactic terms; not only is the main theme undercut by syntactic loosening at the start of each of the period's intrathematic functions, but the concluding function is destabilised through functional transformation.

Turning towards the categories of proliferation by expansion, these characteristics are prevalent across the case study. The first, *Expansion Type 1*, includes the enlargement of individual segments of the periodic or sentential types. These are particularly evident in three examples: Op. 12's first movement, and the first movement and finale of Op. 80.

The syntax of Op. 12/i provides a relatively brief illustration. The periodic main theme is expanded in its latter stages, as the antecedent + consequent frame is asymmetrical. The consequent is expanded to twelve measures against the antecedent's eight. The syntax of Op. 80/i, on the other hand, is more ambiguous. As explored in the cadential analysis, the opening thirty measures appear to comprise a loose period. The ensuing material is framed as a cadential phrase, initiated at measure 31, arriving first at a deceptive cadence in measure 37, and then a PAC in measure 41. The finale of Op. 80 is similarly large. The theme commences with a 16-measure antecedent + codetta. The consequent is an enlarged form of the antecedent, and thereafter the codetta extension dissolves to transition.

These larger operations are particularly conspicuous examples of expansion technique; however, smaller, localised expansions are abundant in several of the other movements in this case study. For example, Op. 12/iv's main theme features a six-measure consequent as part of its periodic presentation (whereas the antecedent is only four); and Op. 44 No. 2/i, and Op. 44 No. 3/i contain ten-measure antecedents and consequents (as opposed to the more 'traditional' four or eight-measure). Where the expansion is relatively or comparatively small, as in these examples, I have grouped the movements under the proliferative categories that they predominantly convey (for example, Op. 44 No. 2/i features a more significant ECP extension, rather than the comparatively modest enlargement of the periodic functions).

The second category of expansion, *Expansion Type 2*, evidences the enlargement of the main-theme group through the use of smaller forms, such as small binary or ternary form, rather than just intrathematic syntaxes (periods, sentences etc.), which therefore produces multiple layers of syntactic growth.

Three examples align with *Expansion Type 2*. Op. 44 No. 1/i, Op. 44 No. 1/iv, and Op. 44 No. 3/iv are all significantly enlarged because the main theme uses a small ternary design. The Op. 44 No. 1 examples both contain functional transformation, and therefore, loosely follow the ternary main-theme model set out by Schmalfeldt in her analysis of Mendelssohn's Op. 49.[123] I follow this ternary model rather than the rounded binary proposed by Sonata Theory, despite the similarities between both.[124]

[123] Janet Schmalfeldt, *In the Process of Becoming*, 164-173.
[124] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 70.

Op. 44 No. 1's first movement opens with a tight-knit sentence, articulated by a PAC. The ensuing material, however, presents a contrasting middle, thereby reclassifying the opening as an A section, and significantly increasing the main theme's action space. The contrasting middle, as is typical, is looser in design, and features a retransition to A, promoting further expansion. The finale of Op. 44 No. 1 operates similarly (as demonstrated in Example 2.2.1/5). Both the A and B sections are periodic, but the contrasting middle is significantly longer, as the period is also sentential. Moreover, the consequent is extended by four measures as the lower level continuation stalls on a spinning-out (in measures 26-29) of the dotted rhythm pattern found in measures 22-25, acting as a standing on V. This standing on the dominant, is a form of lower-level extension (similar to *Extension Type 4*: the inclusion of smaller, additional segments of syntax).

The finale of Op. 44 No. 3, detailed in Example 2.2.1/3, is also expanded at the interthematic level because of the proliferation of syntax owing to the ternary form. That said, the opening A section does almost seem to contain some form of early truncation, as the sentence is cut-off before it can be fully explored. The presentation phrase is only furnished with a continuation and cadence in the A^1 section. This fact notwithstanding, both the B and A^1 produce full sentential readings, thereby acting as expansions of the overall theme group. While Op. 44 No. 3's finale achieves a cadence, and the Op. 44 No. 1 movements do not, all exhibit significant examples of syntactic opulence and expansion. The proliferative nature of the material, as with the other examples of extension and expansion, produces a sense of continued cadential deferral, a continued reassessment of the functional identity, and a main-theme syntax that significantly distends classical proportions. The syntax is both rooted in, but inherently different from, classical practice.

Recapitulation Main Themes

The final point of consideration in this case study focuses on the question of recapitulatory correspondence. If the single biggest issue affecting syntax in the exposition is proliferation, then the opposite is true in the recapitulation: each of the main themes are marked by significant truncation. I will consider the movements in terms of the cadential/closure categories that they now convey in the recapitulation, how their syntactic structure and cadential articulation is changed, and the recapitulatory procedures that each observe.

Table 2.2.1/9: Comparison of Exposition and Recapitulation Main-Theme Closure Categories

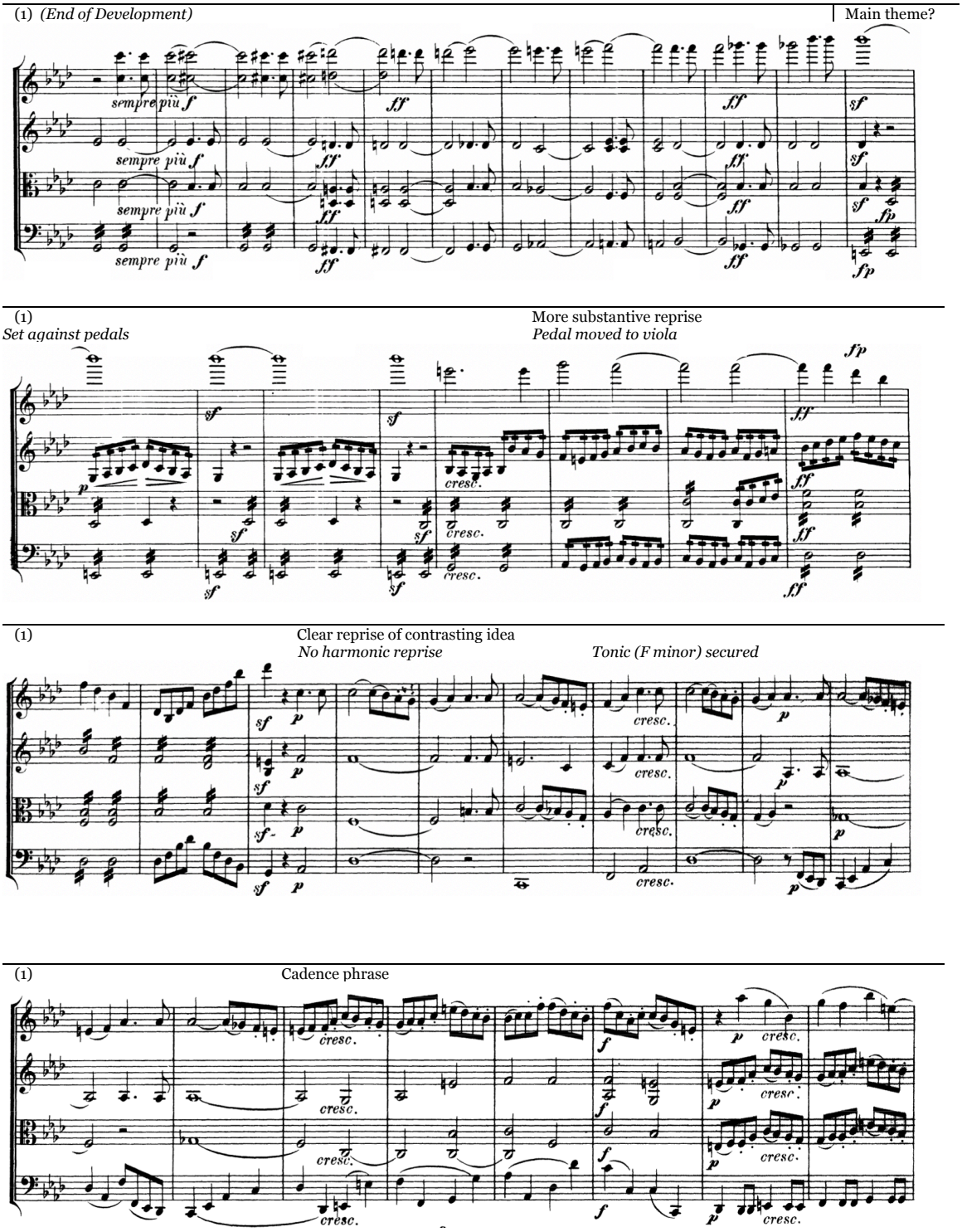
Piece	Exposition Closure Category	Recapitulation Closure Category
String Quartet No. 6, Op. 80/i	1.a	1.a
String Quartet No. 4, Op. 44 No. 2/i	1.a	1.c (possibly Cat. 3)
String Quartet No. 1, Op. 12/i	1.a	2.a
String Quartet No. 2, Op. 13/iv	1.b	2.a
String Quartet No. 1, Op. 12/iv	1.a	2.b
String Quartet No. 2, Op. 13/i	2.a	2.b
String Quartet No. 3, Op. 44 No. 1/i	2.c	2.c
String Quartet No. 6, Op. 80/iv	2.a	2.c
String Quartet No. 5, Op. 44 No. 3/i	1.a	3
String Quartet No. 4, Op. 44 No. 2/iv	1.b	3
String Quartet No. 5, Op. 44 No. 3/iv	1.b	2.b (A and B reprise) and 1.b (A^1 reprise)
String Quartet No. 3, Op. 44 No. 1/iv	2.c	2.c (A and B reprise) and 2.b/2.c (B again)

The only movement that retains its structural closure in the recapitulation is the opening movement of Op. 80 (Example 2.2.1/6),[125] albeit there are several other complicating factors surrounding the main-theme reprise. To begin with, the development and recapitulation are not functionally separate from one another (recapitulation procedure 1). The recapitulation struggles to assert itself, with elements of the reprise first introduced in measure 161. This takes place in the violin II, and is set against a five-measure sub-dominant pedal in the violin I and a pedal on the raised leading note in the cello. A more substantive reprise occurs in the violin II and cello in measures 167-168, corresponding to measures 2-3, but a dominant pedal now persists in the viola. Finally, a clear reprise of the consequent's contrasting idea enters in measure 172, and most of the remaining main-theme material is now returned. However, the consequent's contrasting idea, as in the exposition, is not set over tonic harmony. Therefore, if measure 172 represents the thematic recapitulation, then F minor is not harmonically returned at this point. Instead, the tonic is delayed until four measures later (measure 176). The exposition's deceptive cadence, in the middle of the cadential extension that follows, seems further evaded here (in measure 186), with the soprano dropping out. The subsequent drive to the PAC is melodically different in the violin I, but an emphatic PAC is nonetheless achieved in measure 190. Therefore, despite the elision of development and recapitulation, the struggle to support the start of the recapitulation structurally, the delayed tonic, and

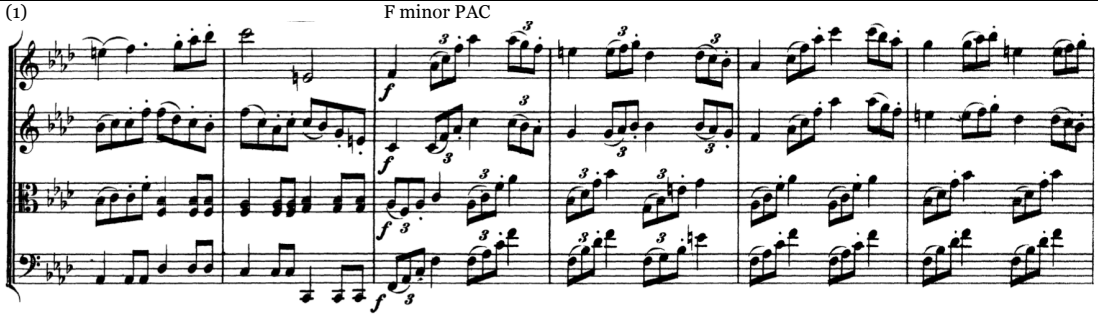
[125] Recall that the exposition syntax is: antecedent (b.i. + c.i.) + consequent (b.i. + c.i., extended) + cadence (first deceptive, second PAC).

the truncation of much of the antecedent material, the main theme manages to retain its structural cadence.

Example 2.2.1/6: Quartet No. 6, Op. 80/i Recapitulation Main-Theme Syntax



(1) F minor PAC



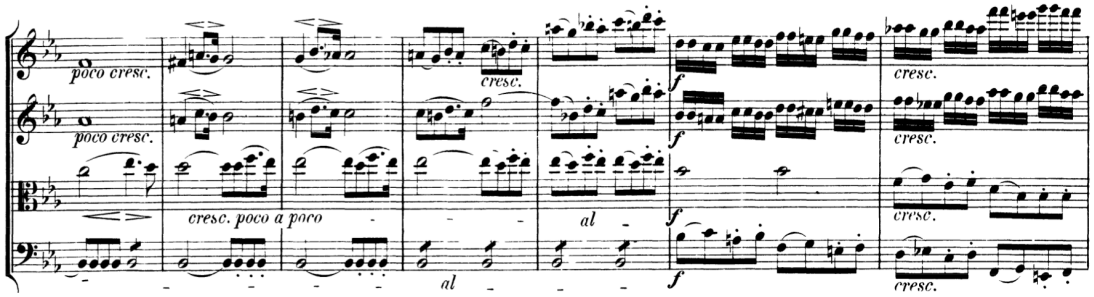
The recapitulation of Op. 44 No. 3/i (Example 2.2.1/7) evidences *Closure Category 3* (as opposed to the exposition's *Closure Category 1.a*) and features some syntactic change, elements of truncation (recapitulation procedure 3), and, as with Op. 80/i, is elided with the development because material from the end of the development persists and covers the reprise of the main theme (recapitulation procedure 1). Six measures before the start of the recapitulation, a melodic figure based on the head motive of the main theme (the opening four semiquaver pattern) emerges in the violin I and then persists over the thematic reprise. As with the exposition, the main theme's statement phrase commences over vi, and a firm root tonic is achieved only at the end of that phrase. Rather than the antecedent + consequent + ECP + PAC, the recapitulation features a continuation phrase in place of a consequent. This change is produced through a spinning out of preceding material, rather than the qualities of retrieval typical of consequent phrases. Additionally, the exposition's ECP first culminates onto a first-inversion E-flat major chord (PAC sidestepped, and a deceptive cadence is created[126]) before then producing a root motion PAC. The ECP of the recapitulation leads only to the first of these (the tonic first-inversion), and the subsequent PAC is jettisoned. The second half of the ECP is spun-out, but here this constitutes a transition section, rather than the PAC arrival. In this sense, the theme features only the *Closure Category 3* cadence (which evades the PAC), and the second part of the ECP dissolves.

[126] William E. Caplin, *Analyzing Classical Form: An Approach for the Classroom* (Oxford and New York: Oxford University Press, 2013), 130.

Example 2.2.1/7: Quartet No. 5, Op. 44 No. 3/i Recapitulation Main-Theme Syntax

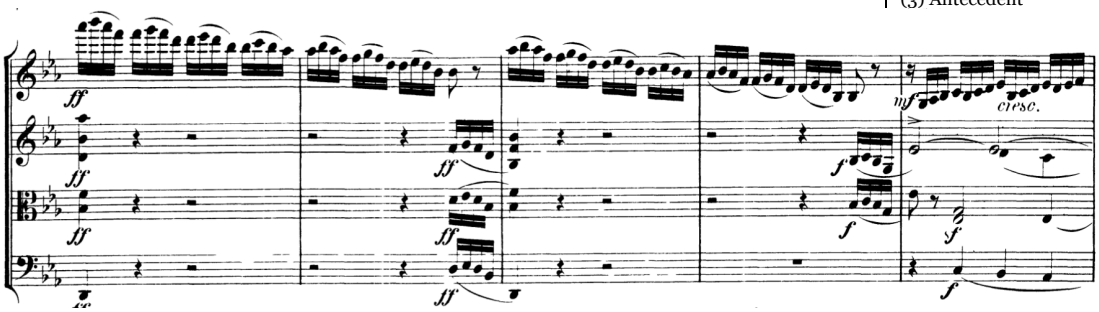
(1) *(End of Development)*

Material at end of Development which covers Main-theme reprise



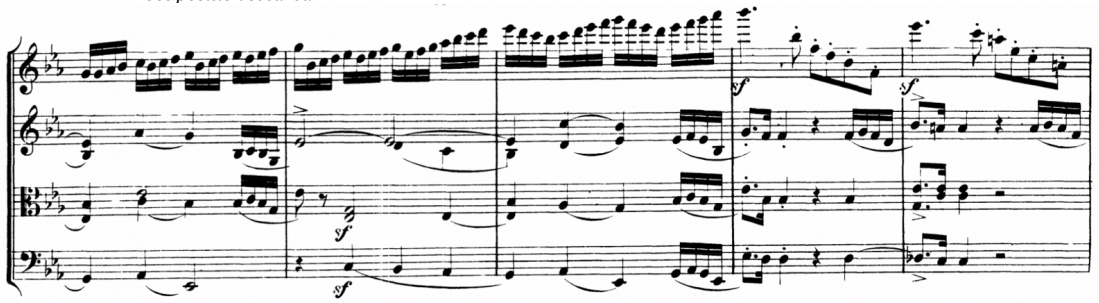
(1) *(End of Development)*

Recapitulation
(2) Main Theme
(3) Antecedent



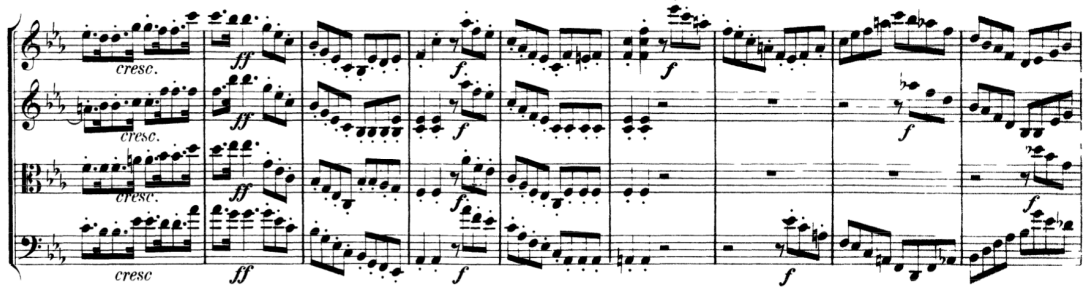
(1)
(2)
(3)

Root position secured

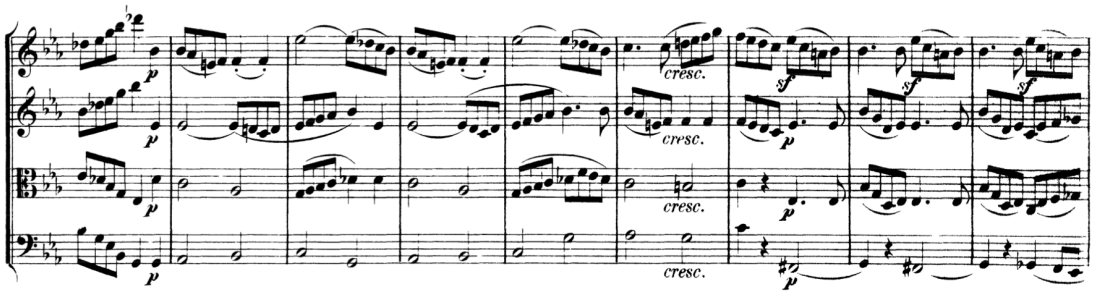


(1)
(2)
(3)

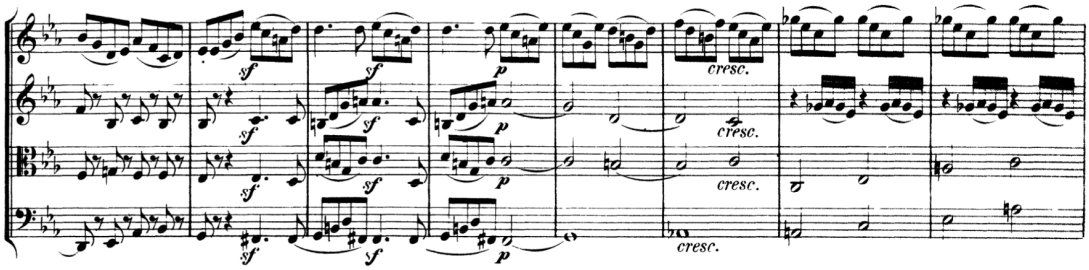
Continuation



(1)
(2)
(3) | ECP



(1)
(2)
(3) Deceptive Cadence (I^6_3) | ECP Pt2 ⇒TR



The finale of Op. 44 No. 3 evidences a Type 3 sonata 'in dialogue with the rondo principle.'[127] The conversion from a Type 3 sonata to a Type 4 is signalled by the division of the main-theme material into two separate points of reprise. The recapitulation of A and B[128] seems to occur early in the movement, at the upbeat to measure 131. The reprise emerges out of a liquidation of the head motive's rhythmic pattern (merging development and the first recapitulation spaces: recapitulation procedure 1). Additionally, while the A reprise begins with an arpeggio based on E-flat major, the tonic is not present in the bass. A brief E-flat major chord occurs on the fourth beat of measure 133, but this is limited and passing, and a clear tonic is not secured until the next phrase, thereby disassociating the thematic and harmonic reprises (thematic and harmonic non-congruence). The A melody is provided by the violin I, and the viola and cello correspond with their expositional counterpart, but the violin II provides a counter-melody, which seems to be based loosely on the violin II's melody from the opening phrase of the first movement, and further obscures the emergence of the recapitulation. The B section is more conspicuously 'recapitulatory', with the section commencing over a root position tonic, and the presentation phrase corresponds with the exposition. The continuation commences in the violin II in measure 140, but is thereafter liquidated (*Closure Category 2.b)*, and dissolves back to development, thereby engaging a rondo reading. The second

[127] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 388.
[128] Recall that the exposition syntax is: A (statement and response); B (presentation, continuation, vi:HC); A^1 (presentation, continuation, PAC).

return of main-theme material occurs in measure 231. However, there is no full return of A and B, and instead measure 231 represents a return of the A^1 section. Thus, the rondo nature of the material has served to divide the main theme group into two separate parts (where A and B are reprised as part of the first refrain, and A^1, the second). As with the earlier A return, the A^1 section (measure 231) emerges from the rhythmically liquidated head motive, and occurs without tonic support, which does not arrive until measure 236 at the end of the presentation. A small section of the continuation is removed, but the structural cadence remains intact (a weak PAC, measure 239, representing *Closure Category 1.b*), and is once again (as in the exposition) elided with the start of the transition by a shared tonic acting as both closure and initiation.

The first movement of Op. 44 No. 2 presents the possibility of a double-function cadence, where the main theme's structural close also might function as the medial caesura.[129] The recapitulation returns with only half of the period and the ECP, beginning at the upbeat to measure 173. The recapitulation is first signalled in measure 165 by a repeated rising arpeggiated figured based on the opening motive of the theme. The reprise enters over a dominant pedal, and the tonic is delayed until four measures later (at the end of the antecedent's basic idea), such that there is a disconnect between the return of the thematic content, and the structural tonic, thereby producing another elision between the development and recapitulation. At measure 187 the ECP is diverted away from the PAC and is extended further until it produces a half cadence on the downbeat of measure 192. Given the open-ended nature of the cadence and the subsequent commencement of the subordinate theme, this half cadence functions as the medial caesura. From one perspective we might consider that the ECP failed to produce its expected PAC, and the subsequent continuation of material is in fact a dissolution that quickly leads to the MC (with the result that this would be classified as a *Closure Category 3*); alternatively, given the nature of the material, the thematic connection between this section and the theme itself, and the absence of the expositional transition material, this might simply represent an extended thematic zone (and a deletion of the transition), such that the half cadence functions both as the cadential goal of the main theme, and the medial cadence initiating the secondary-thematic zone.

There are two movements which feature dissolving consequents in their recapitulations where no such dissolution occurs in the exposition. The first movement of Op. 12 retrieves both its antecedent and consequent, but the latter is truncated (recapitulation procedure 3), dissolving to the transition and thereby removing its structural cadence. This causes a merging of the main theme and transition zones (recapitulation procedure 4). There is also significant truncation in the second example, Op. 13/iv. Rather than the antecedent + consequent + evaded cadence + OMT + PAC, the two cadential phrases are removed, and the consequent dissolves to the transition zone having not secured a cadence. This also

[129] Recall that the exposition syntax is: antecedent + consequent + ECP + PAC, category *1.a*.

exhibits recapitulation procedure 4 (main theme loses cadential function and dissolves to subsequent function). The transition, however, is different to that found in the exposition. The recapitulation's transition is based on a spinning-out, and liquidation of the dissolving consequent's final section, replacing the exposition's transition which features a rotation of the introduction.

Closure Category 2.b is evidenced in the recapitulations of Opp. 12/iv and 13/i. The finale of Op. 12 features a shortened development (if one can even be identified, given that there are some twenty measures between the exposition and recapitulation). Only two measures of the fourteen-measure introduction are featured in the reprise, corresponding to the opening two measures (now a first-inversion dominant chord), hence its C minor PAC is deleted. The expositional main theme features four cadences: an antecedent HC, consequent IAC and IAC repeat (all within a periodic presentation), and a PAC concluding the continuation. The recapitulation, however, features only two: the HC and first IAC are retrieved, but the repeated IAC is deleted, and the latter stages of the continuation are recomposed, with the alteration 'becoming' transition in place of the final PAC (merging the theme and transition action spaces: recapitulation procedure 4). Therefore, Op. 12/iv is now categorised as *Closure Category 2.b*.

So too is the first movement of Op. 13. Unlike other movements in which truncation typically acts as a destabilising influence, here truncation initially functions as a tightening strategy. The exposition main theme presents a comparatively loose structure, with several small phrase additions around the periodic syntax. The recapitulation, with typical deletion and compression strategies, removes the loosening devices that hamper the beginning of the exposition. In addition to this, there is also syntactic change. The antecedent is retrieved, but at best the medial function represents a continuation, rather than a consequent, as no direct retrieval occurs, and the music is instead based on *Fortspinnung* and liquidation. Like the exposition, the main theme is merged with the transition (recapitulation procedure 4), but the specific function that dissolves is a continuation, meaning that the category of closure has changed from *2.a* to *2.b*.

At first the recapitulation of Op. 44 No. 1's finale might suggest a sonata rondo reading, given that the main theme is reprised in two places. However, unlike Op. 44 No. 3/iv where a sonata rondo is in effect, the ambiguity in Op. 44 No. 1/iv is instead between Type 3 and Type 1, the sonata without development. Initially, measure 107 might be regarded as a development pre-core, with the main-theme reprises occurring in measures 126 and 207. However, the material does not seem to support a rondo on further reading. Instead, the pre-core is acting as a retransition, and the recapitulation (beginning with the first section in measure 126) features an internal, displaced development. This practice is similar to that evidenced in the finale of Brahms' First Symphony (Op. 68), and, to a lesser extent, the finale of Brahms' Op. 83.

The return in measure 126[130] features the A section, retrieved in full, and the contrasting middle. The B material, beginning with the sentential antecedent, culminates in a corresponding PAC in measure 143, but the consequent that follows is truncated, and commences with the internal continuation rather than the internal presentation. The ensuing extension is nominally present, but the material is altered, with E-flat and B-flat introduced in the upper strings. From this point, the theme dissolves having never secured a return of A^1. This dissolution leads onto the development interpolation, before the recapitulation is again asserted in measure 207. This unit corresponds only with the contrasting middle material, comparable to that in the earlier reprise event. The antecedent is retrieved in full (with its intrathematic PAC), but the consequent is again based mainly on the internal continuation and extension syntax. The combined continuation and extension is spun-out and yields directly to the subordinate theme. In the context of the closure categories, the treatment of this finale is mixed: in the first section of the reprise, a multi-part theme dissolves, thereby corresponding to *Category 2.c*; however, in the second reprise, as only elements of the contrasting middle are present, we could either see this as part of a larger ternary design (and therefore keep *Category 2.c*), or as a stand-alone section, and the dissolving continuation would therefore be grouped under *Category 2.b*.

The recapitulation's entry in measure 269 of the finale of Op. 80 is covered by a counter-melody in the violin I which briefly obscures the thematic return, thereby eliding the development and recapitulation spaces (recapitulation procedure 1). The antecedent's basic idea is retrieved in the violin II, up to and including the half cadence. The counter-melody persists over this cadence, and continues into the next phrase, the codetta extension idea, but the main theme's melodic idea soon loses out, and gives way to the counter-idea in the violin I. This counter-melody now acts as the transition between the two themes, with the subordinate theme entering at measure 289. The dissolution to transition therefore takes place within the antecedent + codetta extension (shortly after the onset of the codetta idea), with much of the main-theme material deleted. This is an uncommon type of dissolution not witnessed thus far. Although *Category 2.c* typically refers to larger formal types, it is the only category which appropriately accounts for dissolution of such unorthodox function combinations (an initiating function, antecedent, with extension).

The first movement of Op. 44 No. 1 also features an elided development and recapitulation, and significant truncation. In the exposition, the main theme evidences *Closure Category 2.c*, as the A^1 section of the ternary form is affected by functional transformation. In the recapitulation, the point of dissolution is different. The opening A section is returned intact, including the D major PAC. The B/contrasting middle material is also retrieved but is significantly altered by a spinning-out of the end material and, therefore, includes a large extension. As the A^1 material is jettisoned from the recapitulation, the B

[130] Recall that the exposition syntax is: A (period); B (sentential antecedent + sentential consequent, extended); $A^1 \Rightarrow$ TR

material instead dissolves, and, in particular following the continuation material, the contrasting middle is converted to transition. In addition to the A^1, the first medial caesura is also deleted, and the transition culminates on a D major PAC in measure 270 (the original second MC), with the subordinate theme entering directly thereafter. Thus, despite securing a *Closure Category 1.a* tonic PAC in measure 242, the recapitulation, as with the exposition, features a *Closure Category 2.c*, albeit truncation means that the dissolution occurs earlier.

The cadential closure of the main theme in Op. 44 No. 2's finale is significantly altered in the recapitulation. First, the reprise of main-theme material is significantly obscured by an elision between developmental and recapitulatory space (recapitulation procedure 1). A pre-empting of thematic material occurs in measure 262, with retrieval of the opening motive. The true return occurs four measures later (measure 266), but the melody in the violin I is linked with the preceding material, and the upbeat bass figure is removed, such that the recapitulation space seems to assemble itself out of the closing measures of the development. As part of this, the reprise begins before the tonic has been secured. The tonic is only achieved in passing at the end of the compound basic idea, disassociating the thematic and harmonic reprises. Much of the syntax of the theme is initially retrieved, corresponding with the compound basic idea, continuation, and the start of the cadence. As with the exposition, this cadence is jarred by the interruption figure, and the ECP launches at the upbeat to measure 288. The ECP is however altered and metrically extended. The opening four measures of the exposition's ECP are extended to eight in the recapitulation, and now feature the 'interruption' motive in the lower strings. The ECP is drawn out, with several passing modulations, and ultimately dissolves to the subordinate theme at measure 329. Furthermore, as the movement struggles to assert the tonic at the beginning of the recapitulation, and in light of the fact that the cadential material commences over a dominant pedal and subsequently dissolves, the tonic is not yet fully secured in the recapitulation. Therefore, the recapitulation main theme lacks cadential closure. As cadential syntax is initiated, this corresponds with *Closure Category 3* (dissolution of a cadential/concluding function).

The string quartets' sonata-form internal movements do not provide tonic support for their respective recapitulation main themes. Owing to the displaced development reading of Op. 80/iii, the main theme recurs early, in measure 49 (with the development between the reprises of the main and subordinate themes). The main theme loses its cadence, and merges with the ensuing developmental function. The Scherzo of Op. 44 No. 3 features a dominant pedal under its main-theme retrieval, but the recapitulation in this example is unorthodox, as the unit beginning in measure 178 combines the reprises of both main and subordinate themes. The recapitulation main theme in Op. 44 No. 1/iii features functional transformation that removes the structural cadence, while Op. 44 No. 2/ii appears to close off-

tonic in measure 165-166, but there is no cadential motion to support this (rhetorical factors alone allow for some distinction between the interthematic functions).

Conclusions

The most striking conclusion to be drawn from the analysis of the string quartets is that proliferation is consistently an agent of structural cadential deferral in the exposition, stemming from the continued incorporation and insertion of additional concluding functions (ECPs and OMTs), and the internal mushrooming and amplification of syntactic practices. Moreover, where extensions transpire, these extra elements of syntax act as points of connectivity and continuity between the theme and transition. That is to say, that the amplification and escalation of rhythm, metre, instrumentation, volume, and rhetoric bridges the gap, so to speak, between the two nominally different formal functions. The extension functions in Opp. 12/iv, 13/iv, 44 no. 2/i, 44 no. 3/i, and 80/i specifically add momentum to their respective movements, and correlate with a sense of continuation, prolongation and protraction of functional space prevalent in Mendelssohn's compositions. In addition to this, recapitulatory truncation is a significant instrument of cadential deletion and deferral, as the truncation often acts on the main theme's concluding syntaxes. Therefore, despite the opposing nature of proliferation and truncation, both significantly alter the realisation and attainment of the structural cadence.

As part of this postponement of structural boundaries, Mendelssohn changes small elements of 'classical' syntax. Most prominently is the detachment of the cadence component from the consequent. It is no longer the case that 'the consequent repeats and alters the antecedent so as to achieve greater closure by means of a stronger cadence', or that 'with few exceptions, a consequent ends with a perfect authentic cadence.'[131] On the contrary, the consequents in Mendelssohn's main themes are left functionally, harmonically, and cadentially open-ended with two consequences: either no cadence will occur, and the main theme will dissolve to the transition; or, more regularly, the theme is compelled to add extra material, which therein produces the enlargement of main-theme function, and often the features of momentum considered above.

In exposition main themes, Mendelssohn does tend to provide some form of structural cadence, but the same cannot be said for the recapitulation, where truncation and functional transformation operate frequently, removing functions, and diverting the thematic material to a transitional function, or directly to the subordinate theme. Even when we can account for a recapitulation structural cadence, the prevalence of emphatic or strong PACs is significantly diminished. There is only one outer movement

[131] William E. Caplin, *Classical Form*, 53.

which features *Closure Category 1.a* in the recapitulation (Op. 80/i) by comparison with five in the exposition. The three internal movements which feature *Closure Category 1.*a in their expositions also lose this cadential function in the recapitulation. By far the most prolific categories are those that correspond with functional transformations (*2.a*, dissolving consequents, *2.b*, dissolving continuations, *2.c*, larger functional transformation), which account for six recapitulations, notwithstanding the two examples in which elements of the main theme are reprised in two separate locations (the type 3 versus type 4 Op. 44 No. 3/iv and the type 3 versus type 1 Op. 44 No. 1/iv), both of which feature elements of functional transformation and dissolution.

Closely associated with these categories of dissolution is the recapitulation procedure of an elided main theme and transition/S group. The main themes that feature functional dissolution in their recapitulations (Opp. 12/i, 12/iv, 13/i, 13/iv, 44 No. 2/iv, 44 No. 1/i, and 80/iv) are now formally coupled with either the transition, or in some cases the subordinate theme, where the transition itself is deleted. One further example (Op. 44 No. 3/iv) has a shared tonic between the main-theme zone and transition (mirroring the exposition).

There are two major processes in place at the outset of Mendelssohn's recapitulations: elision of development and recapitulation; and dissociation of thematic and harmonic reprise (Table 2.2.1/10). First, there is often no clear distinction between development and recapitulation spaces. Development retransitions often include fragmentations and liquidations of the main-theme motives, such that the recapitulation can emerge from these without a clear functional separation. Additionally, elements of the development's liquidation or retransition melody occasionally persist over or during a reprise of thematic material, thereby merging the two functions and obscuring the main theme's return. Second, Mendelssohn frequently undercuts the opening of the reprise by delaying the structural tonic. This creates a disconnect between the return of the thematic content and the tonic bass to support that material. Often, these two characteristics combine to obfuscate the beginning of the recapitulation. In fact, both elision and a delayed recapitulation tonic are present in Op. 44 No. 2/i, Op. 44 No. 2/iv, Op. 44 No. 3/i, Op. 44 No. 3/iv, and Op. 80/i, a significant proportion of the case study, while Op. 13/i, Op. 44 No. 1/i, Op. 44 No. 2/ii, and Op. 80/iv also feature development-recapitulation elision.[132]

Recomposition of the main-theme material is also prevalent in the later works in the case study, particularly those from the period of full maturity. The recompositions tend to align either with a transference of the main-theme melody to a different instrument (Op. 44 No. 3/i, Op. 80/i, and Op. 80/iv), the introduction of a new counter-melody played against the main theme's melody in the reprise (Op. 44 No. 3/i, and Op. 80/iv), and the intensification of instrumentation which provides a denser accompaniment (Op. 44 No. 2/i, and Op. 44 No. 3/iv).

[132] In the case of these two movements, the thematic and harmonic reprise do occur concurrently.

Table 2.2.1/10: Exposition-Recapitulation Comparative Procedures 1, 2, 4, 7[133]

Procedure 1	**Development-recapitulation elision**	1. Op. 13/i 2. Op. 44 No. 1/i 3. Op. 44 No. 2/i 4. Op. 44 No. 2/ii 5. Op. 44 No. 2/iv 6. Op. 44 No. 3/i 7. Op. 44 No. 3/iv 8. Op. 80/i 9. Op. 80/iv
Procedure 2	**Dissociation of thematic and harmonic reprise**	1. Op. 44 No. 2/i 2. Op. 44 No. 2/iv 3. Op. 44 No. 3/i 4. Op. 44 No. 3/iv 5. Op. 80/i
Procedure 4	**Main theme loses cadential function and ⇒ TR/S**	1. Op. 12/i 2. Op. 12/iv 3. Op. 13/iv 4. Op. 44 No. 2/iv
Procedure 7	**Recomposition**	1. Op. 44 No. 2/i 2. Op. 44 No. 3/i 3. Op. 44 No. 3/iv 4. Op. 80/i 5. Op. 80/iv

The earlier quartets are noteworthy for their cyclic content. After their composition Mendelssohn not only spent eight years away from the string quartet, and chamber genres more broadly, but he would not return in such a manifest and appreciable manner to the cyclic design, as Taylor has explored in his study on Mendelssohn and cyclic form.[134] In his biography of Mendelssohn, Todd observes that the Op. 44 string quartets are 'often … thought to evince a stylistic retrenchment, as if in 1837 and 1838 Felix stepped back from the "progressive" threshold of the Octet and Opp. 12 and 13 to revalidate a reactionary classical aesthetic.'[135] The alleged reasons for this, as explored by Todd, are manifold, from supposed reactions to domestic stability, to reliance on trustworthy models during a demanding workload at the Gewandhaus, and aspirations for accessibility and diminishment of 'romantic *Angst*.'[136] Certainly, the two earlier string quartets evidence a stylistic nature indebted to Beethoven (with prominent links in particular between the A minor quartet and Beethoven's own A minor Op. 132, and the E-flat major Quartet and Beethoven's Op. 74),[137] and being some of Mendelssohn's first mature works, both cemented his case as a 'serious' composer, modelled on the '"progressive" works of the older master [Beethoven]';[138] nonetheless, at least cadentially and syntactically the Op. 44 string quartets' apparent 'classical ease' belie

[133] Procedure 3 (truncation) takes place across all movements; procedures 5 and 6 (reversed recapitulations and omitted main theme zones) are not relevant for the present study, although it should be noted that two examples, Op. 44 No. 1/iv and Op. 44 No. 3/iv feature crossover between the Type 1 and Type 3 sonatas, and the Type 3 and Type 4 sonatas respectively.
[134] Benedict Taylor, *Mendelssohn, Time and Memory*, 171-172.
[135] R. Larry Todd, *Mendelssohn: A Life in Music*, 369.
[136] R. Larry Todd, *Mendelssohn: A Life in Music*, 369-70.
[137] R. Larry Todd, *Mendelssohn: A Life in Music*, 178 and 218; and Thomas Schmidt-Beste, 'Mendelssohn's chamber music', 138.
[138] Thomas Schmidt-Beste, 'Mendelssohn's chamber music', 137-138.

the more complex and proliferative nature of the main themes. While the Op. 44 quartets do not deal in the realm of Beethovenian drama and contrast,[139] they turn more vigorously to enterprising main themes based on larger formal designs. Written between the summers of 1837 and 1838, Op. 44 arguably represents the beginning of Mendelssohn's 'middle period',[140] or at the very least the establishment of a new compositional phase, and they evidence some of the first small ternary-form main-theme designs in his chamber music. The ternary form template would later be deployed in several chamber works, including the Cello Sonata No. 1 (Op. 45/i and iii) of 1838, the Piano Trio No. 1 (Op. 49/i) of 1839, and later in the Piano Trio No. 2 (Op. 66/i and iv) and the String Quintet No. 2 (Op. 87/i) both of 1845, and in particular the association between small ternary form and functional transformation so prominent in Op. 44 No. 1 looms large in the majority of the later chamber works featuring the three-part design. Earlier examples of ternary design main themes in Mendelssohn's sonata forms are relatively scarce, with the only examples the Octet of 1825 and the overture to *A Midsummer Night's Dream*, written in 1826.

The Op. 44 quartets mark a new chapter in Mendelssohn's compositional style, not least for their syntactic complexity, but for the poised veneer that Mendelssohn now mastered. The middle-period works may be guilty of seeming to affect a new 'classical' façade, with a larger tendency towards supposed 'conformity', superficial straightforwardness of structure, phrase balance, and harmony, but this veil nevertheless disguises an intricate, inventive, and prodigiously complex approach to compositional practice, as borne out in the syntactic and cadential analysis.

Finally, the Op. 80 quartet evidences a 'major stylistic departure'[141] from many of the chamber works, and in particular the string quartets, which came before it. It eschews any sense of 'classical' form-functionality, renounces sonata-form principles in a much more prominent manner, and manifestly exhibits many of the properties of intrathematic and interthematic obfuscation, cadential deferral, and syntactic instability which are present in his other works but which are concealed by their 'classical' veneer. Thus the conspicuous exposure of these processes in Op. 80 mirrors the manifestations of grief over the death of his sister which listeners have long associated with the work.

[139] Thomas Schmidt-Beste, 'Mendelssohn's chamber music', 141.
[140] Benedict Taylor, *Mendelssohn, Time and Memory*, 226; R. Larry Todd, *Mendelssohn Essays*, 166.
[141] R. Larry Todd, *Mendelssohn: A Life in Music*, 562.

2.2.2: Mendelssohn's Other Chamber Works

In addition to the string quartets, this study also considers eight 'other chamber works' (as distinct from the seven keyboard works) produced post-1825 which feature sonata forms within the context of sonata-type works. This section therefore accounts for twenty-two sonata form movements (Table 2.2.2/1). The first three works, Opp. 3, 20, and 18 emanate from Mendelssohn's period of first maturity (1825-1830), while the remaining five, Opp. 45, 49, 58, 66, and 87, form part of the full maturity (from 1837 onwards).

Table 2.2.2/1: Case Study 2.2.2 Corpus (listed chronologically)

Work	***Opus***	***Movement***	***Date***
Piano Quartet No. 3	3	I II IV	1825
Octet for Strings	20	I II III IV	1825
String Quintet No. 1	18	I IV	1826 (revised 1832)
Cello Sonata No. 1	45	I III	1838
Piano Trio No. 1	49	I III IV	1839
Cello Sonata No. 2	58	I IV	1843
Piano Trio No. 2	66	I IV	1845
String Quintet No. 2	87	I II III IV	1845

Given the scope of this case study, this section will be split into two large sections. The first will centre on an examination of expositional main-theme closure and will investigate the pieces in order of the closural categories (rather than the statistical prevalence of each category). A brief syntactic analysis is provided for the most part, but is particularly relevant where proliferation acts as a means of deferral.

Therefore, the aim will be to highlight instances of open-ended consequents, additional/extra syntactic modules (the extension categories), and moments of accelerated endings, in addition to the principal aim of investigating how each main theme concludes.

The second section of the case study will focus on the recapitulation, and will specifically investigate the pieces in terms of degree of closure (and those pieces in which the recapitulation main theme is now merged with the ensuing function, recapitulation procedure 4, and the effect of truncation (procedure 3) on closure), and also how each main theme commences under conditions of development-recapitulation elision, and dissociation of thematic and harmonic reprises.

Table 2.2.2/2: 'Other Chamber Works' Main-Theme Closure Results

Category 1		
	Type 1.a	Piano Quartet No. 3, Op. 3/ii
		Piano Quartet No. 3, Op. 3/iv
		String Quintet No. 1, Op. 18/i
		Cello Sonata No. 1, Op. 45/i
		Cello Sonata No. 1, Op. 45/iii
		Piano Trio No. 1, Op. 49/iv
		Cello Sonata No. 2, Op. 58/iv
		Piano Trio No. 2, Op. 66/iv
		String Quintet No. 2, Op. 87/ii
		String Quintet No. 2, Op. 87/iii
		String Quintet No. 2, Op. 87/iv
	Type 1.b	Piano Quartet No. 3. Op. 3/i
		Cello Sonata No. 2, Op. 58/i
		Octet, Op. 20/ii
	Type 1.c	Octet, Op. 20/i
		Octet, Op. 20/iv
		Piano Trio No. 1, Op. 49/iii
Category 2		
	Type 2.a	String Quintet No. 1, Op. 18/iv
	Type 2.c	Piano Trio No. 1, Op. 49/i
		Piano Trio No. 2, Op. 66/i
		String Quintet No. 2, Op. 87/i
Category 4		
		Octet, Op. 20/iii

Exposition Main Themes: Closure Category 1.a

The strong PAC option is still the predominant means of main-theme articulation in the chamber works (Table 2.2.2/2). Beginning with the works from Mendelssohn's first maturity, there are three sonata-form movements which include an emphatic tonic PAC at the conclusion of the main-theme group: Piano Quartet No. 3, Op. 3/ii and iv, and String Quintet No. 1, Op. 18/i. The second movement of Op. 3 features a main theme that initially side-steps an IAC in measure 7 (in the piano), proceeding instead from vii^{o7}/ii to ii. Resolution of the theme is then transferred to the strings, which produce a PAC on the downbeat of measure 8. The finale features a two-part main theme, both parts of which are articulated by an emphatic B minor (tonic) PAC, with concluding descending contour. Op. 18/i features a significant extension to the opening sentential syntax. The main theme commences with an eight-measure presentation, followed by a continuation that fails to cadence around measures 16-17. This necessitates a cadential extension which stalls in measures 22-23, and is then spun-out before ultimately descending to an emphatic PAC on the downbeat of measure 35.

In Mendelssohn's period of full maturity (1837-1847), meanwhile, there are eight sonata-form movements that feature an emphatic main-theme tonic PAC. The first movement of the Cello Sonata, Op. 45, is an atypical example of Mendelssohn's ternary main-theme design, in that it produces a structural cadence (Table 2.2.2/3). There are several examples of main-theme ternary forms in Mendelssohn's chamber works (including Op. 49's first movement, the outer movements of Op. 66, Op. 44 No. 1's first movement and finale, and the first movement of Op. 87), but comparatively few feature a structural cadence at the end of the A reprise. Both the first movement and finale of Op. 45 are part of this smaller sub-set, producing emphatic concluding cadences.

Op. 45's first movement's A section is fragmentary in nature, and almost seems to display an introductory character. The first phrase (measures 1-4) is based on parallel octaves, leading to a $V^6{}_4$-5_3 half cadence; the second phrase features a dominant pedal in the cello set against a varied repeat of the opening statement, acting as a dominant prolongation. Together these might therefore resemble a statement + response,[142] but the character overall is one of a fragmented, introductory style. The A section culminates on a half cadence in measure 8, and the B section ensues. Immediately this material has more of a thematic quality (in contrast to other B sections which often represent areas of exploration, expansion, and development). This B section appears to follow a sentential structure, with a statement (measures 9-10) and response (measures 11-12), (which together form a presentation), and a continuation and cadence (measures 13-16). The contrasting middle produces a similar half cadence in measure 16, albeit chord V^7 also acts as the upbeat to the A reprise, meaning that the dominant overlaps, eliding the two sections. The

[142] Albeit, the response is quite distinct from the statement.

A¹ section is comparatively longer, spanning measures 17 to 31. The opening A statement is retrieved, although here the piano provides a full accompaniment, rather than parallel chords. A continuation phrase commences at the upbeat to measure 20, which reframes the earlier A section as a type of presentation phrase awaiting a medial/concluding function. These additional functions are provided by the A¹, albeit the presentation's response phrase has been omitted in the reprise. A similar model occurs in the finale of String Quartet No. 5 (Op. 44 No. 3) where the A section provides only a presentation, while A¹ retrieves and repeats the presentation, with an additional continuation thereafter.[143] The continuation first leads to a half cadence, located in measure 22, but the thematic content continues, moving to $V^6{}_4\text{-}^5{}_3$ (producing a half cadence) in measure 26. Thereafter, measure 27 begins with a $I^6{}_3$, in the vein of a 'one more time', and the I:PAC is achieved in measure 31. A brief descending contour is present in the final two measures of the main theme (although not necessarily across all preceding cadential material) with the concluding harmony articulated by a soprano $\hat{3}$-$\hat{2}$-$\hat{1}$, but the overall descending contour is not as prevalent as other examples.

Table 2.2.2/3: Cello Sonata No. 1, Op. 45/i Main-Theme Syntax and Cadences

Syntax	Main-theme group											
	A			B				A¹				
	Statement (?)		Response (?)	Presentation			Contin. +Cad.	St.		Contin. + Cad.		
				St.		Resp.						
Cadences		HC	HC				HC		V	V	I:PAC	
M.	1	5	8	9	11	13	16	17	22	26	31	

Similar to the first movement, the finale aligns with *Closure Category 1.a*, but the syntax and internal cadences therein are different (Table 2.2.2/4). The A section opens with a period: an antecedent articulated by a half cadence, and a consequent articulated by a strong PAC in measure 16. The B section is sentential and ends with a vi:HC, similar to the finale of String Quartet No. 5, Op. 44 No. 3.[144] The A¹ section is similar to Op. 45's first movement as it includes truncation of the earlier A material, rather than extension (albeit the truncation is slightly larger). The A¹ material features only the A's consequent phrase, but this does mean that the main-theme group as a whole concludes with a I:PAC. Neither the A or A¹ material exemplify the descending cadential contour described by Caplin. The concluding V-I in each case does involve a brief $\hat{3}$-$\hat{2}$-$\hat{1}$, but preceding this the cadences feature mixed ascending and descending motion. Overall, both movements feature several intrathematic cadences prior to the structural close. In

[143] One difference between the two pieces, however, is the shortened presentation in the cello sonata.
[144] Given the similarities between Op. 44 No. 3's finale and the syntax of Op. 45's first movement, and the B-section cadence of Op. 45's finale, there are obvious overlaps in the compositional process.

the case of the opening movement, sections A and B feature half cadences, while the finale's A section is closed as it is articulated by a PAC.

Table 2.2.2/4: Cello Sonata No. 1, Op. 45/iii Main-Theme Syntax and Cadences

Syntax	Main-theme group												
	A						B				A¹		
	Antecedent			Consequent			Presentation		Contin. + Cad.		Consequent-phrase only		
	b.i.		c.i.	b.i.		c.i.	St.	Resp.					
Cadences			I:HC			I:PAC				vi:HC			I:PAC
M.	1		5	8	9	13	16	17	19	21	24	25	32

The finale of Piano Trio No. 2, Op. 66 (Table 2.2.2/5) likewise features a ternary form + PAC structure. The A section is comprised of a hybrid: a four-measure compound basic idea, and a four-measure consequent which is harmonically and functionally closed by a (tonic) C minor PAC. Harmonic support for C minor is less obvious at the beginning of the period, however. The harmony in the opening half measure underlines V^6_5, with chord i arriving on the first beat of the first full measure, but this is a passing chord, between V^6_5 and V^4_3, and the melody features $\hat{3}$-$\hat{2}$-$\hat{1}$ as a dotted rhythm, meaning that it is not an emphatic arrival on the tonic. The remaining harmony of the compound basic idea outlines i^6_3 – iv – i^6_4 – V/V – V^6_5. The passing tonic chords and the half cadence do help establish C minor, but the movement does not open with a substantial amount of root position tonic support. The B section, as with many of Mendelssohn's contrasting middles, is sentential, with a presentation (statement, measures 8.5-10.5, and response, measures 10.5-12.5), and continuation and cadence. This similarly leads to a first inversion (V^6_5) half cadence in measure 18. The A reprise retrieves the compound basic idea half way through measure 18. The consequent is transferred to the piano, but the material is altered from measure 24 onwards, and features an extension (Extension Type 3). The PAC is ultimately produced on the downbeat of measure 32. Instead of a concluding descending $\hat{3}$-$\hat{2}$-$\hat{1}$, the soprano features a $\hat{2}$-$\hat{7}$-$\hat{1}$ in both A and A¹'s C minor PAC, with displacement of the $\hat{2}$ to an inner voice.

Table 2.2.2/5: Piano Trio No. 2, Op. 66/iv Main-Theme Syntax and Cadences

Syntax	Main-theme group												
	A						B				A¹		
	Compound basic idea			Consequent			Presentation		Contin. + Cad.		CBI	Conseq.	
	b.i.		c.i.	b.i.		c.i.	St.	Resp.				*(diverges; extended…)*	
Cadences						i:PAC				i:HC			i:PAC
M.	0.5	2	4	4.5	6	8	10.5	12.5	18	22.5	32		

The main theme of Piano Trio No. 1, Op. 49's finale is highly proliferative (Table 2.2.2/6). The theme commences with a periodic structure: a four-measure antecedent (culminating on a half cadence), and a four-measure consequent which is open-ended. The failure of the consequent to cadence in measure 8 necessitates an extension, which itself lasts for four measures. The extension produces a tonic IAC on the downbeat of measure 12, but this is elided to a repeat of the consequent phrase, acting as a 'one more time'. As with its first presentation, the consequent material is not cadential, and the extension is recalled in measures 15-18, in an attempt to bring the 'one more time' to a more successful PAC closure. This 'one more time' effect is undone by the concluding harmony which is now based in the major supertonic, leading to a Neapolitan cadence in measure 18. Once more the consequent phrase is recalled in measures 18-22, a secondary 'one more time', now imbued with a sense of momentum by the rising piano arpeggios and several crescendos. As with the first two 'consequent'-based phrases (the original consequent itself and the first OMT), the material is left open-ended, but, in place of the first extension, a new extension section commences in measure 23. If the material of the 'consequent' and 'extension 1' fail to produce a PAC, the same cannot be said for 'extension 2' which drives emphatically to a D minor PAC on the downbeat of measure 28. The growing urgency for a cadence is coupled with an ascending contour in extension 2, with the material striving upwards towards the final PAC, in opposition to Caplin's descending-contour pattern.

Table 2.2.2/6: Piano Trio No. 1, Op. 49/iv Main-Theme Syntax and Cadences

Syntax	Main-theme group									
	Antecedent		Consequent	Extension 1	OMT1 'Conseq.'	'Ext. 1'		OMT2 'Conseq.'	'Ext. 2'	
Cadences		HC		IAC			$\flat$II$^6_3$			PAC
M.	1	4	5	8	12 ↔	15	18	19	22	28

The second movement of String Quintet No. 2, Op. 87 (Table 2.2.2/7) does eventually generate an emphatic tonic PAC, but the intrathematic cadences, and the underlying harmonies therein are much more interesting because many of them do not correspond to the movement's tonic: G minor. The movement begins with an opening two-measure idea which is immediately repeated, with some melodic elaboration, in measures 3-4. The first phrase produces a tonic half cadence, and the second, a tonic PAC. Therefore, the opening four measures project a G minor period. Measure 5, however, provides an off-tonic contrasting idea in F major, with an F major PAC in measure 6. This contrasting idea is repeated in measures 7 and 8, but now transposed to B-flat major (inclusive of a B-flat major PAC in measure 8). The syntax now suggests that the opening eight measures form an antecedent, comprised of a tonic basic idea

(measures 1-4, with its own tonic period) and a contrasting idea (measures 5-8, also with its own F major antecedent and B-flat major consequent).

At the upbeat to measure 9, the melody retrieves the opening syntax, now projecting a consequent phrase (and an overall double period design). The opening tonic, periodic, four-measure basic idea is retrieved, and so too is the off-tonic, periodic, contrasting idea (the first half of which retrieves F major, while the second half is centred in B-flat major); however, the B-flat major PAC in measure 16 is evaded, and an extension is produced in order to modulate from B-flat major to G minor. This extension, between the upbeat to measure 17 and measure 20, is formed of two 'one more time' phrases (*Extension Type 2*), with the first leading to a tonic half cadence (measure 18), and the second finally providing the tonic PAC. In terms of cadential contour, all instances of PACs largely correspond with descending motion. The F major and B-flat major PACs conclude with a $\hat{3}$-$\hat{2}$-$\hat{1}$, while the G minor PACs feature either a $\hat{2}$-$\hat{7}$-$\hat{1}$ (in measure 4) or a $\hat{5}$-$\hat{7}$-$\hat{1}$ (in measures 12 and 20 – displacement of $\hat{2}$ to internal voice).

Table 2.2.2/7: String Quintet No. 2, Op. 87/ii Main-Theme Syntax and Cadences

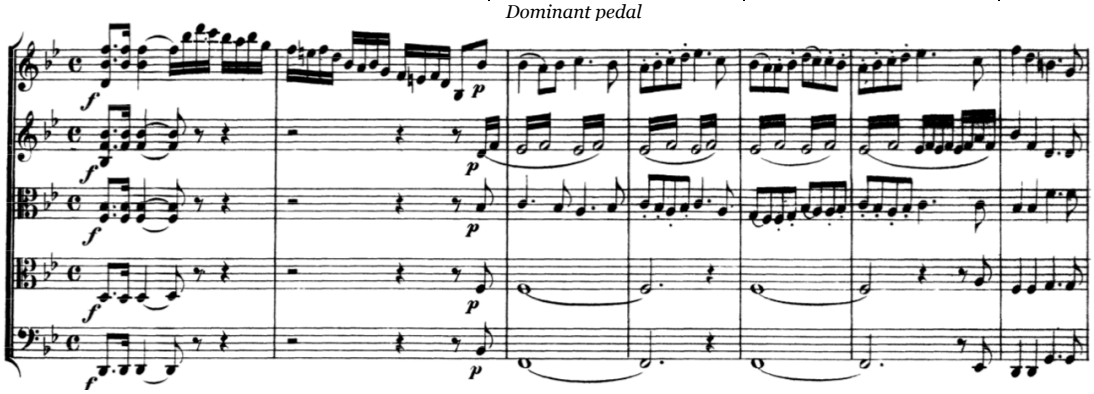
Syntax	Main-theme group																			
	Antecedent									Consequent								OMT		OMT
	Basic idea/ Period 1				Contrasting idea/ Period 2					Basic idea/ Period 1				Contrasting idea/ Period 2						
	Ant.		Conseq.		Ant.		Conseq.			Ant.		Conseq.		Ant.		Conseq.				
Cadences	i:HC		i:PAC		VII:PAC		III:PAC			i:HC		i:PAC		VII:PAC		Ev. III:PAC		i:HC		i:PAC
M.	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20

The third movement of Op. 87 features a short main theme (ten measures) which produces a strong D minor PAC, and the continuation phrase concludes with a descending trajectory. The finale meanwhile also features a short main theme; but, after an initial strong close, the thematic space is reopened, the initial PAC is downgraded to an internal cadence, and a second structural PAC ensues (Example 2.2.2/1). The movement opens with a two-measure fanfare in the violin before producing a main theme that is loosely sentential. Measures 3-4 act as a statement, and a varied repeat follows in measures 5-6. Together they form a presentation phrase, which is set over a dominant pedal. A brief continuation and cadence follows, with the PAC in measure 10. Measure 11, however, is not a transition; instead, the continuation material is retrieved and is a direct repeat in the violin I, up to the moment of tonic resolution in the previous cadence phrase, but without the concluding tonic itself. Instead, the tonic is evaded in the second half of measure 14, and the material is spun-out over another dominant pedal up to the downbeat of measure 18 where a tonic PAC is finally produced. The cadence aligns with Caplin's descending contour, particularly in measures 17 and 18.

Example 2.2.2/1: String Quintet No. 2, Op. 87/iv Main-Theme Syntax and Cadences

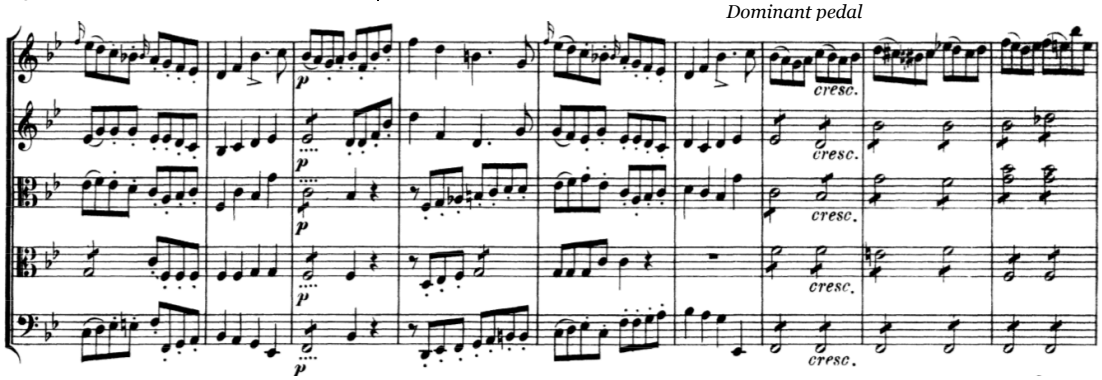
(1) Main Theme			
(2) Opening fanfare/P^{o} module	Presentation		Continuation
	(3) Statement	Varied repetition	

Dominant pedal

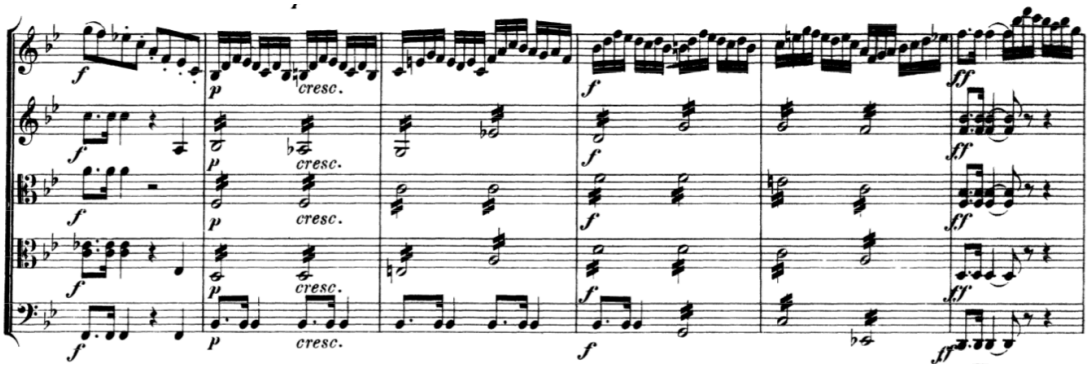


(1)		
(2)	Cadence	Continuation again/OMT invoked
(3)	PAC	PAC evaded

Dominant pedal



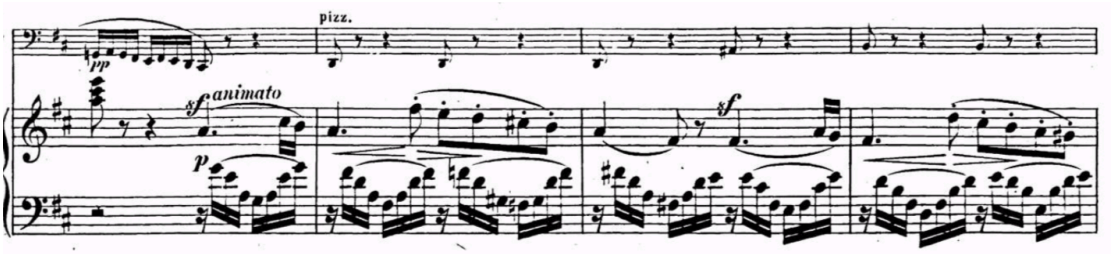
(1)	Transition
(2)	
(3) PAC	



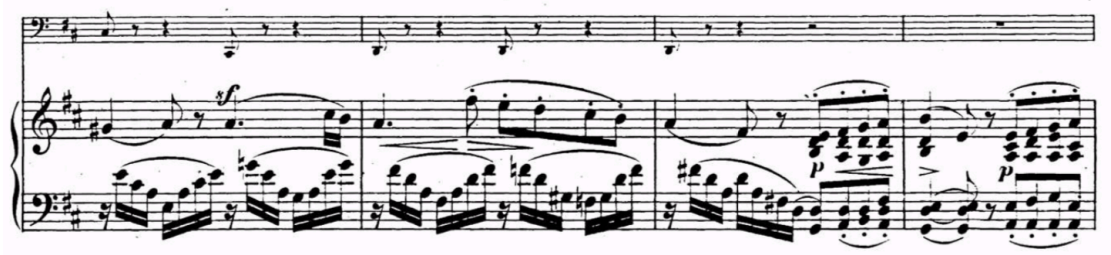
Finally, the finale of Cello Sonata No. 2, Op. 58 (Example 2.2.2/2) features a relatively short main theme, beginning on the third beat of measure 20. The theme sets off in the tonic, D major, following an off-tonic introduction, but the opening chord of the theme is V. The first beat of measure 21 provides an arpeggio of the tonic, commencing on $I^6{}_3$, meaning that there is a very slight misalignment of tonic bass support for the beginning of the theme. The melody takes place in the piano, with unconventional syntax. The opening four measures project a presentation, with two internal similar ideas (a statement and response). However, rather than a continuation in measure 24, retrieval occurs, which therefore initiates a consequent phrase. This produces a hybrid type that rarely occurs, according to Caplin. The 'resulting redundancy of material' stemming from a 'threefold statement of the basic idea' is less familiar than the other hybrid varieties, but the material of this movement supports this reading.[145] Clearly, this cannot be a compound basic idea as the two phrases are not contrasting; similarly, although measure 24 does end on V, this is prolongational. Therefore, a presentation + consequent seems best suited. The last two beat of measure 26 initiate a contrasting idea that is twice the length of the previous statements. A deceptive cadence is produced first in measure 28, before the emphatic PAC in measure 30, which closes with a descending $\hat{3}$-$\hat{2}$-$\hat{1}$.

Example 2.2.2/2: Cello Sonata No. 2, Op. 58/iv Main-Theme Syntax and Cadences

(1) Introduction	Main theme	
	(2) Presentation	
	(3) Statement	Response

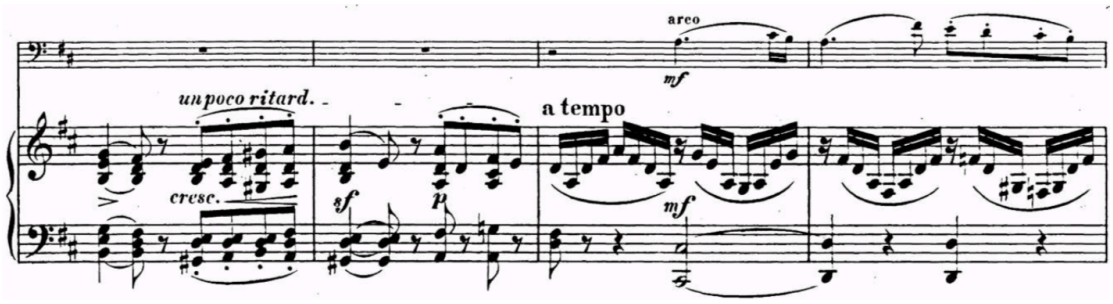


(1)		
(2)	Consequent	
(3)	Basic idea	Contrasting idea



[145] William E. Caplin, *Classical Form*, 63.

(1)		TR (based on main-theme material)
(2)		
(3)		
(4) Deceptive cadence	PAC	



The material ensuant to the hybrid problematises the initial confidence that the main-theme zone has ended, as the following section appears to act as a repeat of the preceding function, admittedly with aspects of functional transformation. There are thus two conceivable analytical convictions: first, that this repeat is part of the main-theme group wherein the hybrid constitutes an antecedent with PAC, and the repeat, a dissolving consequent; or, that the main-theme zone closes with the PAC and the ensuing material is part of transition based on the main theme. In the case of the dissolving period, the main theme does not produce a structural cadence as the processes of 'becoming' divert the consequent's contrasting idea to transition, and the antecedent's cadence is the only form of tonic (admittedly internal) cadential support in the exposition. I favour the alternative reading, however. This movement intersects closely with Op. 13/i, Op. 80/iv, and *Meeresstille und glückliche Fahrt*, but in each of these cases the initial segment of music (antecedents in the case of the string quartet movements, and a compound basic idea in the case of the overture) end either with a weak cadence or with no cadential content. Op. 58/iv is thus distinct because the first segment asserts a PAC. Additionally, there is no rhetorical distinction in the material of segment two (the 'dissolving consequent'/TR), and in particular no manifest difference in the material before or after the point of dissolution, which therefore suggests that this acts as a separate, discrete unit. I therefore regard the PAC in measure 30 as representative of the main theme's structural closure.

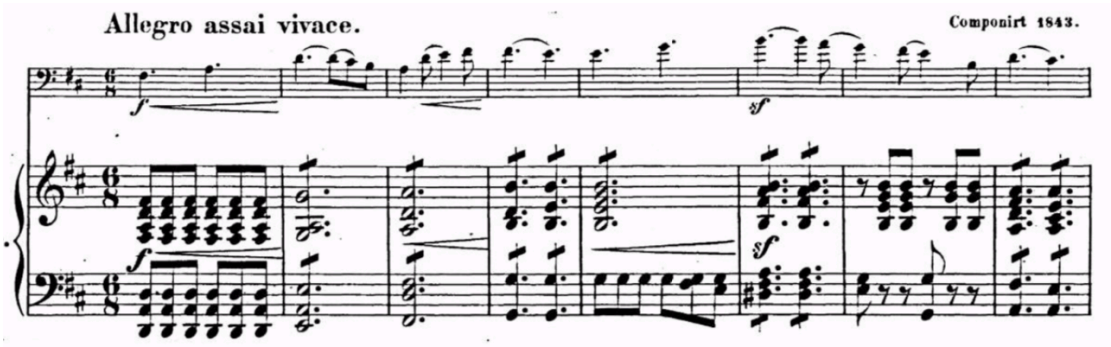
Exposition Main Themes: Closure Category 1.b

The first movement of Op. 58 (Example 2.2.2/3) follows a similar design to the finale, with a main theme followed by an ambiguous transition/'dissolving consequent' section. The theme is another hybrid, this time an antecedent (articulating a HC), and a continuation and cadence, which asserts a PAC in measure 19 (with a distinctly descending contour). In both the first movement and finale, while the intrathematic functions are manifestly evident, the material following the first section is indistinct,

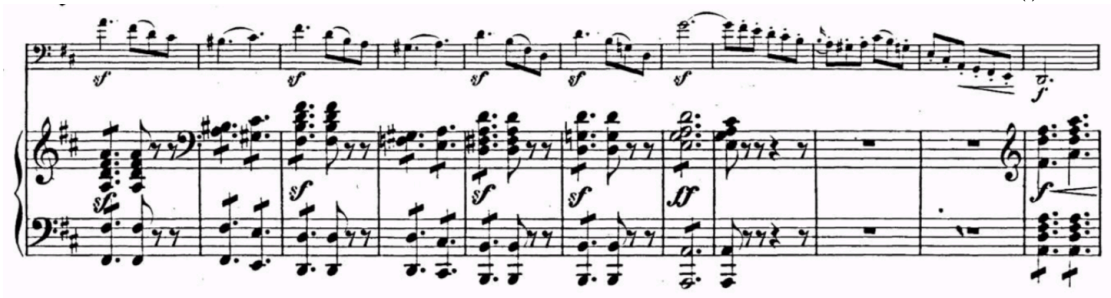
initially suggesting a blurring of boundaries between the main theme and transition; only retrospective reinterpretation allows for a reappraisal of the PACs as the structural cadences. The first movement instantiates *Closure Category 1.b* because the cello's tonic chord of resolution overlaps with the transition's initiating chord in the piano, therefore producing a harmonic elision.

Example 2.2.2/3: Cello Sonata No. 2, Op. 58/i Main-Theme Syntax and Cadences

(1) Main theme
(2) Antecedent
(3) Basic idea | Contrasting idea
(4) HC



(1)
(2) Continuation
PAC
↔



Closure Category 1.b is also evidenced in the second movement of the Octet, Op. 20. The main-theme group is extended by two factors: two anacrusis ideas which initiate both the antecedent and consequent phrases, (similar to the first movement of Op. 13) and a short postcadential codetta between the MT cadence and the transition (not unlike the Octet finale). The 'C minor' main-theme begins tonally mobile, with an anacrusis in measures 1-3 based on F minor, and an antecedent in D-flat major. The antecedent produces a HC in ♭II in measure 11. The anacrusis returns in measures 12-13; both this anacrusis and the consequent's basic idea phrase remain in the flat supertonic major. Beginning at the end of measure 17, with the contrasting idea, C minor is mobilised for the first time in the main-theme

group, with a PAC finally achieved mid-way through measure 20, but the PAC is undermined by the bass' motion to $\hat{3}$ rather than root position (thereby producing a first-inversion cadence). The short codetta leads to a root-position PAC at the end of measure 23, but this too is undermined by a bass elision between theme and transition. Caplin's descending cadential contour is less evident in this movement; the PAC in measure 20 closes with a brief $\hat{3}$-$\flat\hat{2}$-$\hat{1}$-$\hat{7}$-$\hat{1}$, but the overall nature of the consequent's contrasting idea does not necessarily align with a descending effect.

The final example of *Closure Category 1.b* is the first movement of the Piano Quartet No. 3, Op. 3. The main theme is divided into two parts, MT1 and MT2. MT1 achieves a *Closure Category 1.a* cadence, with a strong PAC on the downbeat of measure 24, but the ensuing material continues the main-theme zone (rather than featuring a main-theme based transition rotation as with Op. 58/i and iv). MT2 achieves a PAC closure in measure 48, but this tonic chord also acts as an initiating chord for the transition-proper thereafter. In both instances, a descending contour leading to the final tonic can be observed.

Exposition Main Themes: Closure Category 1.c

On the analysis of the Octet's first movement (Op. 20, Table 2.2.2/8), I disagree in part with Taylor. In his study of Op. 20, Taylor categorises the opening 67 measures as the 'first group', comprising two periods: 'mm. 1-20 and 21-37, each split into two asymmetrical parts are immediately repeated (mm. 37-59).'[146] There are two issues with this. The first stems from the repeated material between measures 37 and 59. If this material is clustered under the 'first group' then no distinction is provided between main theme and transition. I do not believe that this material is part of the opening theme. As we have seen with many other chamber works, Mendelssohn frequently rotates main-theme material in his transitions. Moreover, separating this from the main theme means that the harmonic issues present in the repeated section are divorced from the first tonic group, and collectively moved into a functional zone (transition) where modulation is expected. Second, I do agree that there are two periodic sections present, but not in the manner suggested. Measures 1-8 provide a short, discrete period, culminating on an IAC on the downbeat of measure 9. Internally, the syntax suggests an opening four-measure antecedent, but one that is not cadentially supported as the harmony moves from I^6 to ii^6_5. While a sense of rhetorical closure is secured, motion to the supertonic is non-cadential, thereby transforming the antecedent to a compound basic idea. Thereafter the consequent ends on the weaker IAC option. Although the violin II moves to e_4, the melody

[146] Benedict Taylor, 'Musical History and Self-Consciousness in Mendelssohn's Octet, Op. 20', 137.

is provided exclusively in the violin I throughout the period. Therefore, given that the violin I descends to g_3, this represents an IAC.

The second period takes place between measures 9 and 21. A four-measure antecedent in this case is furnished with an IAC in measure 13, and is succeeded by an expanded consequent. The internal contrasting idea is considerably longer; it is not appended by an extension but, instead, it is itself enlarged as per *Expansion Type 1*. The last measure of the consequent (measure 20) is loosely based on the semi-quaver descending pattern at the end of period 1's cadence (in measure 8). This too leads to an IAC. The final section of material, measures 21 to 37 are looser in design, and I do not see the application of periodic syntax here. The first phrase, between measures 21 and 29, forms a discrete sentential unit culminating on a PAC. Given that the ensuing material acts in a continuation fashion, then measure 21 might represent the beginning of a sentential presentation phrase (articulated with a PAC, à la Vande Moortele) that, together with the continuation (measures 29-37), form an expanded sentence (*Expansion Type 1*).

Table 2.2.2/8: Octet, Op. 20/i Main-Theme Syntax and Cadences

Syntax	Main-theme group							
	MT1 CBI		Consequent	MT2 Antecedent	Consequent *Expanded*	MT3 Sentential-Presentation		Continuation
Cadences		(no cad.)	IAC	IAC	IAC		PAC	*Plagal cad.*
M.	1	4	9	13	14	21	29	37

One issue remains with the material, and specifically with the nature of the harmony in measures 36-37. The harmonic motion in these two measures is IV-I, suggesting the deployment of a plagal cadence. In her analysis, Schmalfeldt annotates her example of mm.34-45 with '(no cad.).'[147] Although she gives no specific rationale for her repudiation of the plagal cadence as truly cadential, she likely observes Caplin's assertion that the plagal cadence is 'entirely inadequate' as a means of asserting the tonic, as 'subdominant harmony does not contain the essential elements, especially the leading tone, to set up powerful expectations for a resolution to a stable tonic.'[148] Thus, the movement supplies a very weak form of *Closure Category 1.c*, which Caplin (and presumably Schmalfeldt) would likely regard as rhetorical and formal closure even if not structural/cadential closure.

Schmalfeldt, Taylor, and Vitercik have contributed exemplary studies of the Octet's finale (Op. 20).[149] It is not my intention to restate or reconsider the numerous arguments or analyses they present,

[147] Janet Schmalfeldt, *In the Process of Becoming*, 186.
[148] William E. Caplin, 'The Classical Cadence: Conceptions and Misconceptions', 71.
[149] Janet Schmalfeldt, *In the Process of Becoming*, principally 174-184; Benedict Taylor, 'Musical History and Self-Consciousness in Mendelssohn's Octet, Op. 20', 131-159; and Greg Vitercik, *The Early Works of Felix Mendelssohn*, 71-136.

but merely to examine the main-theme cadence. Using Taylor's example, Schmalfeldt applies the following functional labels to the opening of the finale: measures 1-24 = MT[1] (fugal subject); measures 25-32 = MT[1]-codettas; measures 33-50 = MT[2] (model and sequence); measures 51-64 = MT[2]-codettas.[150] MT1, based on the fugal subject, provides an E-flat major IAC in measure 25. The ensuing codetta section (famously based on the *Hallelujah* chorus from Handel's *Messiah*) repeats this IAC twice: first in measure 29 and again in measure 33. MT2, on the other hand, produces a more emphatic PAC as its conclusion in measure 51. However, the MT2 codetta leads to two weaker cadences in measures 63 and 64. The first (on the downbeat of measure 63) is mostly overwritten as it forms part of the larger cadential function which ceases in measure 64. This second cadence, an IAC, however, is undermined by the fact that it is functionally elided with the transition. Therefore, although there are several cadences across both main-theme zones, and despite the more assertive IACs of MT1 and in particular the PAC of MT2, the main theme as a whole ends with this weaker, functionally elided IAC.

Table 2.2.2/9: Octet, Op. 20/iv Main-Theme Cadential Structure

Syntax	Main-theme group							
	MT1		MT1-codetta		MT2		MT2- codetta	
Cadences		IAC		IAC	IAC	PAC	*(IAC?)*	IAC
M.	1	25		29	33	51	*63*	64

Piano Trio No. 1, Op. 49's Scherzo (third movement) falls under the same principle as Op. 58's outer movements where repetition begets obfuscation. The downbeat of measure 8 produces an IAC elided to the beginning of the next section. Given that this commences as a varied repeat of the opening seven measures, one would be forgiven for assuming that a periodic structure originates from this point onwards. As with the Second Cello Sonata, there are several issues with viewing measure 8 as the commencement of a consequent phrase. While the opening four-measure basic idea can be mapped onto the material of measures 8-10, the consequent's contrasting idea goes beyond the scope of expected variation/alteration. Typically, the consequent's contrasting idea will begin similarly to the antecedent's but the second half/latter section will be altered in order to secure a stronger close. This four-measure contrasting idea, however, features an internal repeat, where measures 13-14 are copied with some alteration in measures 15-16. Crucially, the contrasting idea is still prolongational. It is certainly not unusual for Mendelssohn to leave the consequent functionally open and affix an extension, but most thematic extensions remain (or at the very least return) to tonic harmony. By contrast, measure 17 initiates a modulation to A major. By the conclusion of this section in measure 28, with the V:PAC, it is clear that

[150] Janet Schmalfeldt, *In the Process of Becoming*, 175.

the so-called consequent is another main-theme based transition, that the V:PAC is the medial caesura, and that, in particular, the subsequent material is the subordinate theme. Therefore, the Scherzo features a relatively compact main-theme zone, concluding with the I:IAC (*Closure Category 1.c*) in measure 8. In contrast to Caplin's descending contour, the material in measures 6-8 drives entirely upwards towards the IAC.

Exposition Main Themes: Closure Categories 2.a and 2.c

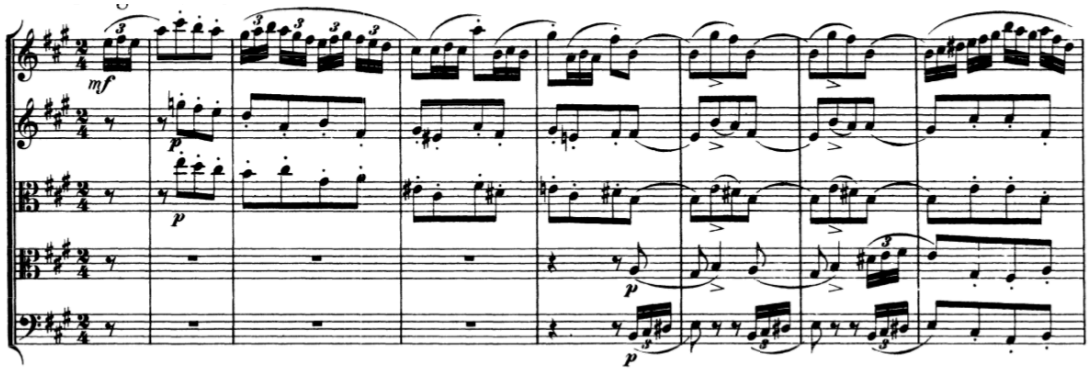
The boundary between main theme and transition is yet again obscured in the finale of String Quintet No. 1, Op. 18 (Example 2.2.2/4). The movement begins with an A major main theme, but the tonic receive little structural support, certainly in the exposition. In terms of syntax, the theme comprises a loose periodic design. The theme commences with an A major antecedent phrase that appears to culminate on an E major PAC in measure 8. Given that the subsequent consequent reasserts the tonic, the V:PAC is reconsidered as a half closure, thereby invoking Caplin's 'reinterpreted half cadence'.[151] Caplin asserts that the reinterpreted half cadence is utilised so that the two principles of the antecedent are not violated: 'that it close with a weak cadence, and that it not modulate.'[152] Given the reassertion of the home key in the subsequent phrase, the modulation is immediately cancelled, and the V:PAC is reinterpreted as a tonic half cadence.

A second reinterpreted half cadence is produced at the end of the extended consequent function, in measure 22. The consequent phrase leans heavily on the dominant, and culminates on a V/V:PAC. This is again a reinterpreted half cadence, now in E major. While there are no further cadences in the main-theme zone, this does not mean that the V/V:PAC ⇒ HC acts as the structural cadence. Instead, the main-theme zone is continually destabilised by these reinterpreted half cadences and eventually dissolves to transition just after measure 22. This therefore has similarities with *Closure Category 2.a*, given that the consequent features a cadential articulation but this is not structural.

[151] William E. Caplin, *Analyzing Classical Form*, 90.
[152] William E. Caplin, *Analyzing Classical Form*, 90.

Example 2.2.2/4: String Quintet No. 1, Op. 18/iv Main-Theme Syntax and Cadences

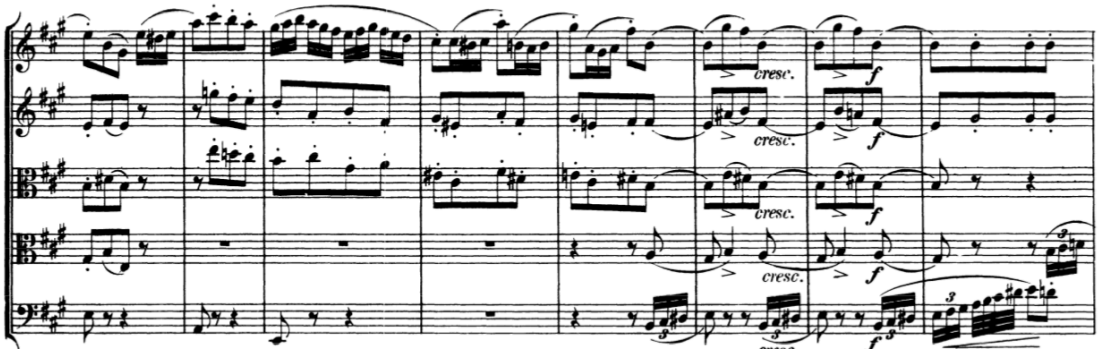
(1) Main theme
(2) Antecedent
(3) Basic Idea | Contrasting Idea



(1)
(2) Consequent
(3) Basic Idea | Contrasting Idea

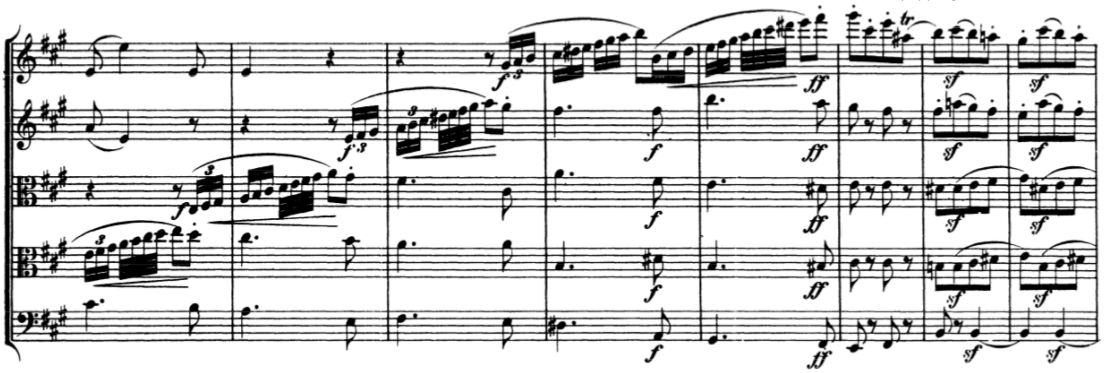
V:PAC
⇒ I:HC

Moves to E major

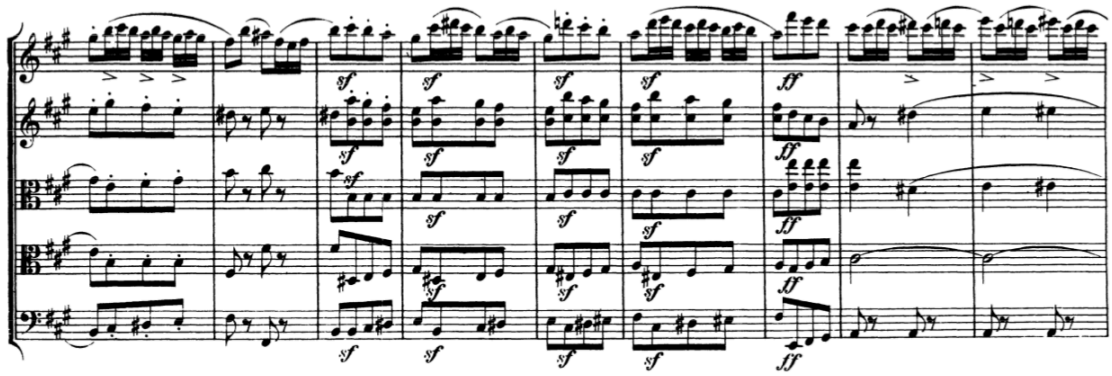


(1)
(2) Extension

V/V:PAC
⇒ V:HC



(1) *MT* ⇒ TR



The three movements in *Closure Category 2.c* all follow the small ternary-form main theme frequently used by Mendelssohn. The first example, the opening movement of Piano Trio No. 1, Op. 49, is one of Schmalfeldt's exemplars of Mendelssohn's processual nature in her study on functional transformation. As she opines, the A section provides a hybrid antecedent + continuation. The antecedent is sentential, leading to a tonic half cadence in measures 15-16, while the elongated cadence phrase (measures 25-39) initially exhibits an abandoned cadence in measure 32, before driving forward to the PAC in measure 39 following a 'one more time'. The material directly after this PAC invites several retrospective reinterpretations. An initial onset of further thematic functions and a tonic IAC in measure 47 suggest a secondary main-theme zone. Thereafter, however, the nature of the material is decidedly more transitional in character, meaning that the section post-measure 39 is re-understood as a transition. The 'tumultuous' reprise of A material problematises the transitional reading, and recasts the section as a 'highly dynamic' contrasting middle, 'ultimately dominant oriented… within a much expanded MT that has taken on a *small-ternary* design (A-B-A').'[153] As she suggests, the material between measures 39 and 67 raises several re-evaluations of its function: 'MT^2 ⇒ Trans. ⇒ B-section.'[154]

Ultimately, the return of A material in measure 67 is relatively brief. The opening statement and response phrases are transferred to the bass of the piano, set against new material in the strings. Soon after the presentation, the theme is liquidated and Mendelssohn leaves the tonic. This therefore produces another reinterpretation, where A^1 functionally dissolves to transition, and the main theme closes without producing a final structural closure. As there is no structural closure at the end of the main-theme zone, we cannot focus on cadential melodic contour; however, the PAC present in measure 39 is preceded by a six/seven-measure descending melodic pattern.

[153] Janet Schmalfeldt, *In the Process of Becoming: Analytical and Philosophical Perspectives on Form in Early Nineteenth-Century*, 170.
[154] Janet Schmalfeldt, *In the Process of Becoming: Analytical and Philosophical Perspectives on Form in Early Nineteenth-Century*, 168.

Table 2.2.2/10: Piano Trio No. 2, Op. 66/i Main-Theme Syntax and Cadences

Syntax	Main theme group											
	A					B					A => TR	
	Antecedent		Consequent		Extension	Antecedent		Consequent		Extension	‘Antecedent’	
	B.I.	C.I.	B.I.	C.I.		B.I.	C.I.	B.I.	C.I.		B.I.	C.I. *Dissolves*
Cadences		HC		HC	PAC I-vi°-ii-V7-i		i6-3:PAC?			PAC		
Bars	1	5 8		13 16	20 21 22		25 26	27	29	31 42		46

The first movement of the Second Piano Trio, Op. 66, likewise features a dissolving ternary form. The A section comprises an extended period: both the antecedent and consequent lead to half cadences (in measures 8 and 16 respectively). The extension spins-out the last two measures of the consequent leading to IV (major subdominant) in measure 18 and I (the major tonic) in measure 20. This major tonic chord initiates the final cadential closure; first, the E-natural in I is converted to E-flat for vi^{o} in measure 20, and then measures 21 and 22 move from the supertonic to the dominant and finally tonic minor (ii-V^7-i). The extension features two descending arpeggiated figures before a final leap upwards to $\hat{3}$-$\hat{2}$-$\hat{4}$-$\hat{7}$-$\hat{1}$ based over the vi^{o}-ii- V^7-i.

Unlike Op. 49 where the subsequent section invites several reinterpretations, this movement maintains a thematic-like character for the contrasting middle. The syntax is again an extended period: a four-measure antecedent, a four-measure consequent, and a twelve-measure extension. This B section also produces a stronger close, articulating a PAC in measure 42, with a relatively tight melodic range (rather than any distinct ascending/descending motion). The reprise of A material is located in the piano. The antecedent’s basic idea is retrieved, but the contrasting idea begins to propel the material, in a spinning-out style. When the strings take over at measure 50, it becomes clear that we have left the main-theme territory and are now more firmly in a transition. Despite the two intrathematic PACs, the theme once again yields to the transition before achieving a final cadence.

A highly proliferative main theme in the first movement of String Quintet No. 2, Op. 87 is off-set against a comparatively short transition section. The ternary form in this movement produces two PACs at the end of the A and B sections (measures 1-15 and measures 16-41 respectively), but the A^1 section lasts for no more than four or five measures. The opening A four-measure statement is retrieved, but only one measure of the response, which then yields to transition in measures 46-47. The subordinate theme enters shortly thereafter in measure 53 (following a V^6_3/V MC).

Exposition Main Themes: Closure Category 4

The last main theme closure category (*4*) is established in just one movement: the Scherzo of the Octet (Op. 20). The division between interthematic functions in this movement is very obscure. The movement opens in G minor; given the recurrence of the opening functions at measure 9, the main theme appears to outline some form of periodic design (antecedent in measures 1-8 and consequent in measures 9-16). The material at measure 17, however, does not follow any conclusive cadence, and seems very fragmentary in nature. This might suggest some form of extension to the main theme's period. However, the emergence of a distinctly thematic rhetoric at measure 25, in the relative major, immediately signals that the subordinate theme has commenced, thereby reframing the 'fragmentary' material between measures 17 and 24 as a short transition. If the transition begins in measure 17, it is unclear where the main theme ends cadentially. Unlike functional transformation and dissolving consequents, the main theme does not give the impression that the theme has dissolved into the transition, as there is a rhetorical distinction between the material preceding and following measure 17. The harmony of measures 16 and 17 is centred on VI-#vii$^{o6}_{5}$, with the F#dim^{7} elided to both theme and transition. Although vii can sometimes operate in place of V (in a cadential progression), this is not a type of final cadential articulation, and therefore it seems as though the main theme must be regarded as featuring a type of rhetorical if not cadential closure.

Recapitulation Main Themes

There are only three movements in the case study that retain their original structural cadence, and main-theme syntax in full in the recapitulation: Op. 3/ii, and the finales of Opp. 3 and 58 (all of which marshal a *Closure Category 1.a* PAC). The recapitulation of Op. 3/ii is somewhat unorthodox. Material corresponding with the main theme occurs between the upbeat to measure 41 and the downbeat of measure 46. Following this, the recapitulation moves directly to the closing section, thereby deleting the transition and subordinate-theme spaces, but given that this is a monothematic sonata form, the main-theme reprise also speaks for the subordinate theme.

All remaining recapitulations are altered in some fashion, such that the final cadence is removed (and a previously internal cadence is elevated), a PAC is converted to another form of cadence, or the main theme now dissolves (or dissolves earlier than in the exposition) or abandons its expositional cadential articulation. There are only four recapitulations which feature an emphatic PAC cadence at the end of the main-theme zone. In addition to the three listed above, the final example is the finale of Op. 87, although the specific cadence does not correspond with that from the exposition. Whereas the exposition material

features a weak, covered B-flat major PAC, and a second strong PAC closure following a repeat of the continuation, only the first of these cadential events occurs in the recapitulation, at measure 132. As opposed to its comparatively weak and overwritten nature in the exposition, its reprise is more emphatic, as the violin is followed by a clear rhetorical break after concluding on $\hat{1}$. The repeated continuation is returned in the reprise, but is transferred to the lower strings and dissolves soon after (circa measure 136) to transitional rhetoric. Therefore, the internal weak PAC from the exposition is elevated to a stronger structural closure in the recapitulation.

There are two further movements which feature a type of *Category 1* closure, both of which correspond with *Closure Category 1.c*, Op. 18/i (an altered continuation + cadence leads to a HC) and Op. 45/iii (section A leads to an IAC; thereafter B and A^1 are deleted), but beyond these six examples there are no further structural cadences in the case study. This corresponds with Mendelssohn's tendency to modify the recapitulation syntax, and in particular for these alterations and, especially deletions, to remove or downgrade the stability of the final cadence.

The majority of the recapitulations fall under *Closure Category 2*. The finale of Op. 49 features an open-ended consequent that dissolves to transition (transforming from *Closure Category 1.a* in the exposition to *Closure Category 2.a* in the recapitulation); Op. 87/iii has transformed from *Closure Category 1.a* to *Closure Category 2.b* because of a failure of the continuation to cadence; but, the highest proportion, seven, fall under *Closure Category 2.c*.

Table 2.2.2/11: Comparison of Exposition and Recapitulation Main-Theme Closure Categories

Piece	Exposition Closure Category	Recapitulation Closure Category
Piano Quartet No. 3, Op. 3/ii	1.a	1.a (no recapitulation TR or monothematic ST, heads directly to Closing section)
Piano Quartet No. 3, Op. 3/iv	1.a	1.a
Cello Sonata No. 2, Op. 58/iv	1.a	1.a
String Quintet No. 2, Op. 87/iv	1.a	1.a
String Quintet No. 1, Op. 18/i	1.a	1.c
Cello Sonata No. 1, Op. 45/iii	1.a	1.c
Piano Trio No. 1, Op. 49/iv	1.a	2.a
String Quintet No. 2, Op. 87/iii	1.a	2.b
Piano Quartet No. 3, Op. 3/i	1.b	2.c
Cello Sonata No. 1, Op. 45/i	1.a	2.c
Piano Trio No. 1, Op. 49/i	2.c	2.c
Piano Trio No. 2, Op. 66/i	2.c	2.c
Piano Trio No. 2, Op. 66/iv	1.a	2.c
String Quintet No. 2, Op. 87/i	2.c	2.c
String Quintet No. 2, Op. 87/ii	1.a	2.c
Octet, Op. 20/i	1.c	3
Piano Trio No. 1, Op. 49/iii	1.c	3
Cello Sonata No. 2, Op. 58/i	1.b	3
Octet Op. 20/iii	4	n/a (no recapitulation MT)
Octet Op. 20/ii	1.b	n/a (no recapitulation MT)
Octet Op. 20/iv	1.c	n/a (no recapitulation MT)
String Quintet No. 1, Op. 18/iv	2.a	n/a (no recapitulation MT)

In Op. 3/i, the second part of a multi-part theme (MT1 + MT2) dissolves to transition, while on the part of Op. 87/ii, a 'one more time' phrase dissolves to transition after a weak elided PAC between the antecedent's contrasting idea and the OMT (the consequent is deleted). The remaining five movements all incorporate some type of ternary form design. In two of the examples, Op. 45/i and Op. 66/iv, all three sections of the ternary form return but they lose their PAC cadences because the A reprise now dissolves to the subsequent function (in the case of Op. 45/i, MT⇒TR, while in the case of Op. 66/iv, MT⇒Chorale). The first movement of Op. 66 retrieves only the A and A^1 material, with the intervening B section deleted. As in the exposition, A^1 dissolves to transition, meaning that the closure category corresponds between the exposition and recapitulation. The first movement of Op. 49 falls somewhere between *Closure*

Category 2.c and *Closure Category 3*, as a cadence is technically abandoned before the MT-zone dissolves (as opposed to a theme dissolving directly, prior to a cadential attempt). The categorisation is further obscured by the retrieval of only the A material in the recapitulation, with both B and A^1 deleted. The first movement of Op. 87 operates somewhat similarly, with only A material in the recapitulation. The A material is extended by two measures, leading to a half cadence in measure 242, but the subordinate theme enters directly thereafter. The extension, based on the dominant's leading note (E♮), likely acts as a transition-like link between the main theme and subordinate theme zones, with the HC representative of the medial caesura. Therefore, viewed in this way, the MT⇒short TR/link.

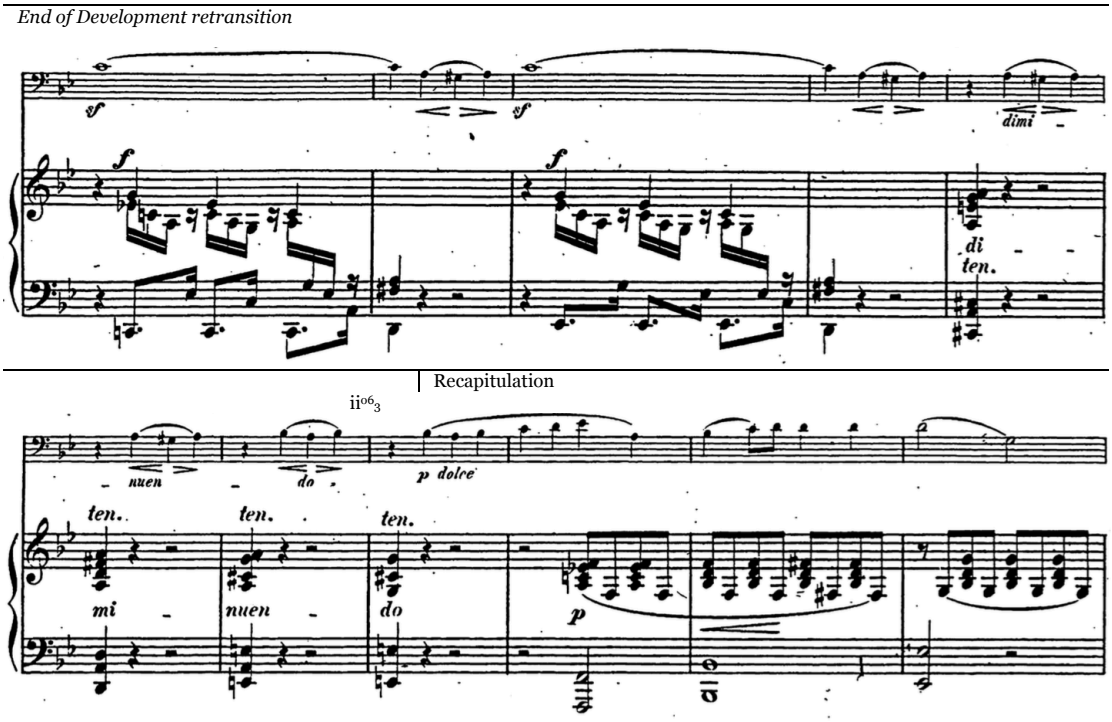
Three movements are now grouped under *Closure Category 3*, contrasting the category's absence from expositions. The opening movement of Op. 20 is the first example. The syntactic and cadential structure is again affected by truncation. Rather than the three discrete main-theme zones (MT1 + MT2 + MT3), only the first of these is returned in full, beginning in measure 221. This includes the tonic IAC on the downbeat of measure 229. The material of MT2 that follows in the recapitulation corresponds only with the exposition's consequent, rather than antecedent phrase. The consequent retrieves the first six measures (of eight) from the exposition, but rather than the final V-I, the recapitulation features a further two-measure *Fortspinnung* that arrives on B-flat in measure 238. This represents the subordinate theme's point of initiation, such that the cadential V-I is deleted in the recapitulation and the cadence is abandoned, producing a MT⇒ST.

The Scherzo of Op. 49 features a more clear-cut example of an abandoned cadence. The short main-theme zone is retrieved between measures 117 and 125. Rather than a final V-I, the material moves to ii instead on the downbeat of measure 125, merging the main theme with the subsequent transition because of the abandoned/failed cadence. Op. 58's first movement also seems to present an evaded cadence at the end of the recapitulation's main theme. The syntax of the theme is returned in full, but the issue lies in the harmony between measures 279 and 280. First, the cello does not descend to $\hat{1}$ as in the exposition, but instead goes only to $\hat{3}$, and the piano likewise features $\hat{3}$ in the bass. Most importantly, the second half of measure 279 features a piano dominant pedal that is suspended over into the so-called first-inversion tonic arrival, and undermines any sense that this might be a true cadential closure. Therefore, despite the presence of elements of chord I (the tonic itself notwithstanding), it appears as though the cadence is evaded, and the material continues directly into the subordinate theme two measures later. The remaining four movements in the case study do not feature proper main-theme zones in their recapitulations, and as such fall outside the closure categories.

The most prevalent recapitulation procedure in this case study is group 3, truncation. Although small examples of main-theme alteration/truncation may occur more broadly across the pieces, there are twelve examples where there is significant truncation, with noticeable deletion and compression (Table

2.2.2/12). What is interesting is the high number of elided developments and recapitulations (recapitulation procedure 1) and dissociations of thematic and harmonic reprise (recapitulation procedure 2). There are nine chamber movements in this case study where the development and recapitulation are functionally elided. Taken together with the eight movements which evidence this same procedure in the string-quartet case study, this represents seventeen movements,[155] a significant proportion of the combined total sample (44.7%). In the case of four movements, Op. 45/iii (Example 2.2.2/5), Op. 49/iii, Op. 49/iv, and Op. 66/i, the elision occurs as the result of an obfuscation between the development and recapitulation boundary, with the end of the development's retransition based on a liquidation of the opening/head motive, with the result that the start of the recapitulation is concealed.

Example 2.2.2/5: Cello Sonata No. 1, Op. 45/iii Neighbour-note idea at end of Retransition, obscuring start of Recapitulation

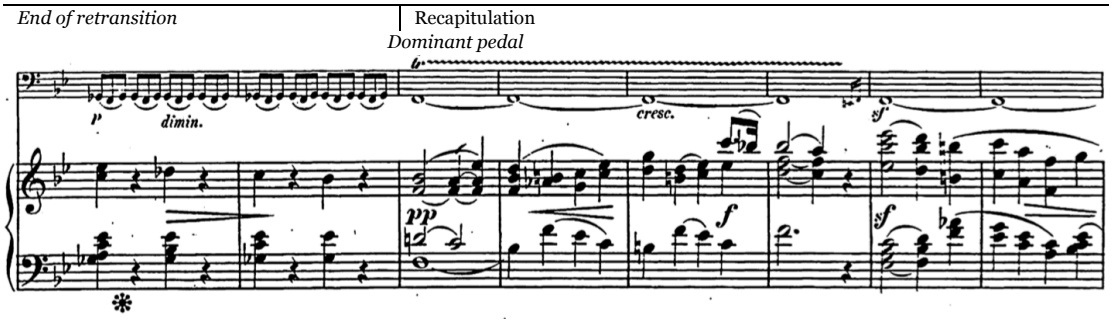


In the case of the first movement of Op. 45 (Example 2.2.2/6) and the finale of Op. 18, a dominant pedal carries over from the end of the development's retransition, thereby eliding the end of the development and start of recapitulation (in the case of Op. 18/iv, this dominant pedal takes place against the subordinate theme, given that there is no main-theme reprise). The third movement of Op. 87 features a violin I demisemiquaver idea in the retransition that persists well into the recapitulation, even past the main-theme zone, and this obscures the boundary between the functions. The final two examples, Op.

[155] Of a combined 38 sonata-form movements: 16 string quartet pieces + 22 other chamber work pieces.

20/iii and Op. 49/i contain short, overlapping or dovetailing of development and recapitulation. In the case of the former the main theme is launched in the violin I above the last few beats of the retransition idea in the interior strings, and in the case of the latter, the retransition ends with a series of octave leaps in the strings, the last of which (in the violin) covers/overlaps the emergence of the main theme in the cello.

Example 2.2.2/6: Cello Sonata No. 1, Op. 45/i Dominant pedal persisting over Main-Theme Reprise



Seven of the nine elisions in this case study (recapitulation procedure 1) occur in Mendelssohn's period of full maturity. Similarly, the majority of examples (5/6) of recapitulation procedure 2, dissociation between the thematic and harmonic reprise, occur in the later period. There are eight movements in the case study in which the main theme is merged with the ensuing function because it does not end with a cadence: four feature a main theme that now dissolves to the transition (Op. 45/i, Op. 49/iii, Op. 87/ii, and Op. 87/iii), while four feature a main theme that dissolves to the subordinate theme because the transition has also been deleted (Op. 20/i, Op. 49/iv, Op. 58/i, and Op. 87/i). This category too shows a high quantity of movements from Mendelssohn's later period, the full maturity, with the Octet first movement (which stems from the period of first maturity) the only exception. There are no examples in the case study of reversed recapitulations, but there are four movements that lack an official recapitulation main-theme zone. This category, unlike the other procedures listed above, features movements solely from Mendelssohn's first maturity (and in particular the Octet): Op. 18/iv, Op. 20/ii, Op. 20/iii, and Op. 20/iv.

Table 2.2.2/12: Exposition-Recapitulation Comparative Procedures 1-6

Procedure 1	**Development-recapitulation elision**	1. String Quintet No. 1, Op. 18/iv 2. Octet, Op. 20/iii 3. Cello Sonata No. 1, Op. 45/i 4. Cello Sonata No. 1, Op. 45/iii 5. Piano Trio No. 1, Op. 49/i 6. Piano Trio No. 1, Op. 49/iii 7. Piano Trio No. 1, Op. 49/iv 8. Piano Trio No. 2, Op. 66/i 9. String Quintet No. 2, Op. 87/iii
Procedure 2	**Dissociation of thematic and harmonic reprise**	1. String Quintet No. 1, Op. 18/iv 2. Cello Sonata No. 1, Op. 45/i 3. Cello Sonata No. 1, Op. 45/iii 4. Piano Trio No. 1, Op. 49/iv 5. String Quintet No. 2, Op. 87/i 6. String Quintet No. 2, Op. 87/iii
Procedure 3	**Truncation**	1. Piano Quartet No. 3, Op. 3/i 2. String Quintet, Op. 18/i 3. Octet Op. 20/i 4. Cello Sonata No. 1, Op. 45/iii 5. Piano Trio No. 1, Op. 49/i 6. Piano Trio No. 1, Op. 49/iv 7. Cello Sonata No. 2, Op. 58/i 8. Piano Trio No. 2, Op. 66/i 9. Piano Trio No. 2, Op. 66/iv 10. String Quintet No. 2, Op. 87/i 11. String Quintet No. 2, Op. 87/ii 12. String Quintet No. 2, Op. 87/iv
Procedure 4	**Main theme loses cadential function and ⇒ TR/S**	1. Octet Op. 20/i 2. Cello Sonata No. 1, Op. 45/i 3. Piano Trio No. 1, Op. 49/iii 4. Piano Trio No. 1, Op. 49/iv 5. Cello Sonata No. 2, Op. 58/i 6. String Quintet No. 2, Op. 87/i 7. String Quintet No. 2, Op. 87/ii 8. String Quintet No. 2, Op. 87/iii
Procedure 5	**Reversed recapitulation**	-
Procedure 6	**No MT-zone in recapitulation**	1. String Quintet No. 1, Op. 18/iv 2. Octet, Op. 20/ii 3. Octet, Op. 20/iii 4. Octet, Op. 20/iv

Conclusions

The exposition analyses demonstrate that *Closure Category 1.a* is the most popular option for main-theme closure, incorporating eleven of the twenty-two chamber movements features, and eight of the sixteen string quartet movements from the earlier investigation. Overall, as nineteen movements thus far in the combined chamber-music study fall under *Closure Category 1.a*, and a further ten movements correspond with the remaining *Closure Category 1* subtypes in the exposition (four in the string quartets and six in the 'other chamber works'), it is clear that the predominant option for closure is the cadence. The same cannot be said for the recapitulation, however. Only four works from the 'other chamber works' case-study and only one from the string quartets correspond with *Closure Category 1.a*. In terms of *Closure Category 1* more broadly, in the recapitulation only six 'other chamber works' and two string quartets can be grouped here. There is a distinct increase in the quantity of movements in the present case study where the main-theme zone dissolves in the recapitulation. While the exposition analyses of the 'other chamber works' feature only four movements under *Closure Category 2*, that number jumps to nine in the recapitulation.

In terms of the recapitulation procedures, there is also a clear tendency for Mendelssohn to merge developmental and recapitulatory spaces, and to delay the return of the tonic, in his period of full maturity. There are only two examples in the 'other chamber works' of an elided development and recapitulation in his first maturity (Op. 18/iv and Op. 20/iii), while there are seven from the full maturity. Likewise, in the string quartet study, all but one of the examples of development-recapitulation elision emanate from this period: the Op. 44 quartets, six examples, and Op. 80, two examples (the remaining example is Op. 13/i). A similar observation applies to procedure 2, dissociation of thematic and harmonic reprise: Op. 18's finale is the sole example from the earlier period, while five works in this case study, and all five examples in the string quartet investigation, occur from 1837 onwards.

The one recapitulation procedure that is observed solely in the period of first maturity is category 6, the omission of a main-theme zone from the recapitulation. This occurs quite prominently in the Octet, with the second, third, and fourth movement affected, and it is also witnessed Op. 18's finale. In some cases elements of the main theme are returned post-S, but these are evidently part of closing sections based on the main theme's motives (rather than a Type 2 or a reversed/reordered recapitulation). Commonly, a large postcadential section or coda ensues.

One of the biggest issues thus far unattended in the recapitulation analysis is the recomposition or significant alteration of the thematic material. In the present case study, this engages eleven examples, listed in Table 2.2.2/13:

Table 2.2.2/13: Recapitulation Procedure 7: Recomposition of Thematic Material

Procedure 7	**Recomposition of thematic material**	1. Octet Op. 20/iii 2. Cello Sonata No. 1, Op. 45/i 3. Piano Trio No. 1, Op. 49/i 4. Piano Trio No. 1, Op. 49/iii 5. Piano Trio No. 1, Op. 49/iv 6. Cello Sonata No. 2, Op. 58/i 7. Piano Trio No. 2, Op. 66/i 8. Piano Trio No. 2, Op. 66/iv 9. String Quintet No. 2, Op. 87/i 10. String Quintet No. 2, Op. 87/iii 11. String Quintet No. 2, Op. 87/iv

The first prominent type of recomposition is a transfer of the main melody to a different instrument. In Op. 45's first movement, the main theme's opening melody is carried by the cello in the exposition, set against a piano that initially mirrors the first four-measure statement in section A, but then acts in an accompanying capacity for the remainder of the A presentation, and the ensuing sentential B and A^1 material. In the recapitulation however, the A section's melody is provided by the piano, while the cello is suspended on a persistent dominant pedal until the B section, where the melody is transferred back. In Op. 49's Scherzo, on the other hand, an exposition solo piano melody is transferred to the strings in the recapitulation. The piano now takes up a denser accompaniment, not present in the exposition. Similarly, the first movement of Op. 66 transfers the melody from the piano to the strings in the reprise. The melody is now set against a new counter-melody in the piano which is carried over from the end of the development, thus obscuring the point of initiation for the recapitulation.

Op. 66's first movement therefore also aligns with the second type of recomposition, where a new counter-melody or accompaniment is introduced. This particular style of recomposition is particularly evident in Op. 49's first movement A section. The cello carries the main theme in both exposition and recapitulation, but in the former there is no significant second melody: just a piano accompaniment and the addition of the violin in the cadence phrase. The recapitulation, on the other hand, features a prominent counter-melody in the violin above the cello's main-theme material. In the case of Op. 49's finale, the exposition's opening four-measure antecedent is sounded solely in the piano, but in the antecedent's reprise, the piano is shadowed by a new accompaniment in the strings. Finally, the A section of Op. 66/iv features a corresponding compound basic idea phrase between the exposition and recapitulation, but the consequent phrase is altered in the reprise, such that the cello main melody is supplemented by a prominent new counter-melody in the violin.

In two examples, the accompaniment in the recapitulation is much denser when compared against the exposition. In the Octet's Scherzo, the violin I main melody is accompanied by denser instrumentation in the recapitulation, with a fugal accompaniment in the interior and lower strings

evident from the consequent phrase onwards. Op. 58's first movement, on the other hand, features an expositional cello melody with piano block-chord style accompaniment. In the reprise, the melody remains in the cello, but the piano swaps the block-chords for a more virtuosic arpeggiated accompaniment, which gives the appearance of a much denser texture.

The remaining three movements come from the Second String Quintet, Op. 87, all of which follow a similar pattern of recomposition, where elements of the main-theme melody (originally presented in the violin I) are transferred to the internal strings in the recapitulation. The first movement's sentential A section features an expositional melody set entirely in the violin I, but in the recapitulation the statement is transferred to the violin II. The melody returns to the violin I for the response and continuation, and the interior and lower strings proceed with a comparatively denser accompaniment. The main-theme reprise is significantly obscured in the third movement by a counter-melody that carries over from the development. The main theme itself is relocated from the violin I (exposition) to the interior strings (recapitulation), while the violin I plays the new demisemiquaver idea. Lastly, in the finale, the main-theme syntax itself is mostly still present in the violin I (albeit with a much denser accompaniment), but the opening two-measure anacrusis, which signals the onset of the theme, is moved to the interior strings in the reprise, while the violin I features a new descending arpeggio idea. Given that three of Op. 87's movements feature these elements of changed instrumentation, it is clear that the transference of the main melody to internal instruments is a shared compositional pattern for this work.

It cannot be coincidence that recomposition techniques are significantly more prevalent in Mendelssohn's period of full maturity (1837-1847). The string quartets do not feature any examples of recomposition from the first maturity, with all five examples originating post-1837. Moreover, while the 'other chamber works' do feature one example in the first maturity, the remaining ten derive from the full maturity. While the later full-maturity period does account for more sonata-form pieces (there are thirteen sonata-form movements from the first maturity, 1825-1830, and twenty-five sonata-form movements from the full maturity, 1837-1847) statistically the recapitulation procedures identified in this study are still much more ubiquitous in the later period. That is not to diminish the musical technique or advancements of the earlier works. Indeed, the Octet is often extolled for its maturity of formal evolution, melodic virtuosity, and thematic coherence. Of all the chamber-genre pieces from Mendelssohn's period of first maturity, the Octet most often chafes against the boundaries of sonata form, and makes difficult the task of analysing the cadences, syntax, and formal issues.

Following the Op. 44 quartets, the first major chamber works in Mendelssohn's full maturity are the Cello Sonata, Op. 45, and the Piano Trio, Op. 49. The latter received much acclaim upon its release, with Robert Schumann calling it 'the trio masterpiece of the present time' and bestowing on Mendelssohn

the claim that he was 'the Mozart of the nineteenth century.'[156] Certainly, both Op. 49 and Op. 66 attest to main-theme opulence (with ternary form main themes acting as a strategies for cadential deferral), and continued reinterpretation of function, which results in a sustained reappraisal of cadential status (in which 'interthematic cadences' are reoriented at the intrathematic level). Op. 58 similarly testifies to Mendelssohn's tendency for formal obfuscation, with potentially opposing views over the treatment of the material following the initial MT-PACs. This, as with many of the other chamber works, engages a continued process of functional re-examination and reinterpretation, and evidences the kinds of syntactic instability and functional imprecision wrought by his approach to cadential articulation.

[156] Robert Schumann, 'Trios für Pianoforte mit Begleitung' in *Gesammelte Schriften über Musik und Musiker*, I, 5th edn., ed. Martin Kreisig (Leipzig: Breitkopf and Härtel, 1914): 500.

2.2.3: Mendelssohn's Overtures

In R. Larry Todd's 1993 book on Mendelssohn's overtures, he opined that Mendelssohn had formulated the three overtures at the centre of his study (*Ouvertüre zum Sommernachtstraum, Meeresstille und glückliche Fahrt,* and *Die Hebriden*): 'upon the traditional principles of sonata form, yet in each case he modified the structural plan to fit the programmatic requirements of the specific subject-matter, as if to permit the extra-musical elements to vie with the formal considerations.'[157] He further notes that Mendelssohn helped to separate further the overture from its typical stage, opera, or theatre role, and from the confines of the symphony, thereby securing it as a means of romantic expression.[158] While his first claim is undoubtedly true, I believe that this can be broadened to make a greater claim: Mendelssohn based his overtures upon the traditional principles of sonata form, yet in each case he modified the structural plan *to accommodate a larger, more elaborate romantic syntax and aesthetic.* Indeed, this claim need not be reserved solely for the overtures. If his second claim is also true, that Mendelssohn was at the forefront of establishing the overture as a means of romantic expression, then an analysis of these pieces is central to understanding Mendelssohn's broader use of syntax, and syntax's relationship to cadences and formal closure.[159]

The present case study focuses on the ten sonata-form overtures written after 1825 (given that this marks the release of Mendelssohn's first major, mature pieces, the period of his so-called first maturity). Of these, the main themes of four overtures fall under *Closure Category 1.a*, producing an emphatic PAC: *Trompeten-Ouvertüre, Die Heimkehr aus der Fremde, Die Hebriden,* and *Ruy Blas. Athalie* produces a weak PAC articulation, while the remaining pieces either articulate another cadence, or have no structural cadence: *Die erste Walpurgisnacht* falls under *Closure Category 1.c*, pieces that contain an IAC; *Ouvertüre zum Sommernachtstraum* contains a non-tonic PAC (*Closure Category 1.d*); *Meeresstille und glückliche Fahrt* instantiates *Closure Category 2.a*, while *Die Hochzeit des Camacho* and *Die schöne Melusine* both feature under *Closure Category 3*.

[157] R. Larry Todd, *Mendelssohn: The Hebrides and Other Overtures* (Cambridge: Cambridge University Press, 1993): 52.
[158] R. Larry Todd, *Mendelssohn: The Hebrides and Other Overtures*, 3.
[159] Steven Vande Moortele's recent book on Romantic Overtures is a timely addition to research on the overture, romantic syntax, and Mendelssohn's overtures specifically: Steven Vande Moortele, *The Romantic Overture and Musical Form from Rossini to Wagner*.

Table 2.2.3/1: Overture Main-Theme Closure Results

Category 1		
	Type 1.a	Trompeten-Ouvertüre, Op. 101 Die Heimkehr aus der Fremde, Op. 89 Die Hebriden, Op. 26 Ruy Blas, Op. 95
	Type 1.b	Athalie, Op. 74
	Type 1.c	Die erste Walpurgisnacht, Op. 60
	Type 1.d	Ouvertüre zum Sommernachtstraum, Op. 21
Category 2		
	Type 2.a	Meeresstille und glückliche Fahrt, Op. 27
Category 3		
		Die Hochzeit des Camacho, Op. 10
		Ouvertüre zum Märchen von der schönen Melusine, Op. 32

The analysis of the overtures indicates that Mendelssohn tends towards inclusion of a tonic main theme PAC, with 70% of the exposition main themes featuring some form of cadential articulation. This parallels the results in the string quartets and 'other chamber works' in which twelve of the sixteen movements, in the case of the former, and seventeen of the twenty two movements, in the case of the latter, are grouped under one of the *Category 1* subtypes. As I will feature *Die Hebriden* in a more detailed study later, I will focus first on an analysis of the other three pieces in *Category 1.a*.

Exposition Main Themes: Closure Category 1.a

The most straight-forward example of a *Category 1.a*, and a relatively simple main-theme syntax, is found in the *Trompeten-Ouvertüre*. The theme is comprised of a sixteen-measure period: an eight-measure antecedent and an eight-measure consequent. However, the cadential articulation warrants more attention (Table 2.2.3/2). The basic ideas of both the antecedent and consequent appear to end with a half cadence (measures 32 and 40 respectively), and the antecedent is articulated by a PAC in measures 35-36. Both periodic phrases can be further subdivided: the basic idea features a short anacrusis and a presentation (defined by the half cadence), and the contrasting idea features the fragmentary continuation and the PAC cadence. This therefore produces a compound-period structure, comprised internally of a periodic antecedent and periodic consequent. In order to achieve this, however, the presentation must be regarded as set over a tonic pedal, with no sequential harmony, or tonic + dominant relation (as expected

in the statement + response). Moreover, the presentation is once again articulated cadentially, although the half cadence is, of course, of limited scope. The consequent's contrasting idea (beginning in measure 41) features a three-chord fanfare, and a brief one-measure rapid ascent and descent. The final V-I does follow the typically-cadential descending contour but only in this very brief last moment. The addition of elements such as the small anacruses (*Extension Type 4*), and the multi-layering of sentential elements within the periodic design produces some proliferation, although on a relatively smaller scale than in other examples.

Table 2.2.3/2: *Trompeten-Ouvertüre*, Main-Theme Syntax

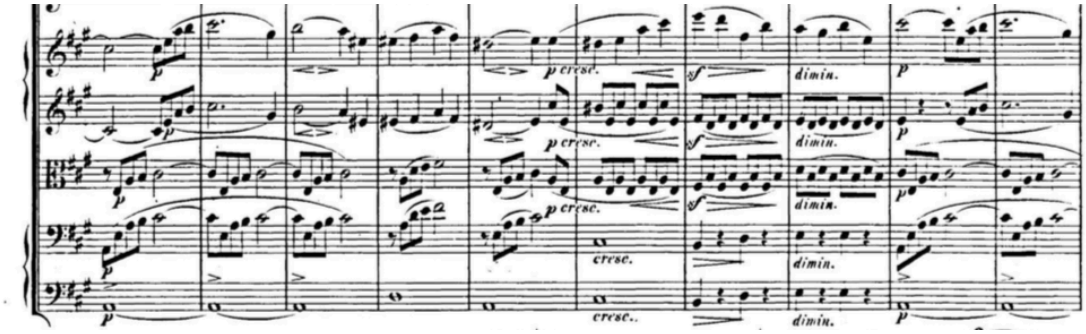
Syntax	(Intro-duction)	Main-theme group															
		Antecedent (Periodic)							Consequent (Periodic)								
		Basic Idea/Ant.				Contrasting Idea/Conseq.			Basic Idea/Ant.				Contrasting Idea/Conseq.				
		Presentation				*Contin. + cad.*			*Presentation*				*Contin. + cad.*				
		An.	*St.*	*Resp.*	*Cad.*				*An.*	*St.*	*Resp.*	*Cad.*					
Cadences					HC			PAC				HC				PAC	
M.		28	29	30	31	33		36	37	38		39	41			44	

Also periodic is the main theme of *Die Heimkehr aus der Fremde* (Example 2.2.3/1), although the material is slightly extended by the second type of extension: a 'one more time'. Most noteworthy in this theme is the inclusion of an IAC, rather than a half close, at the end of the antecedent phrase. I would argue, though, that while the antecedent typically features a HC, the IAC is also suitably 'weak'. The consequent's contrasting idea progresses similarly to the antecedent's, but is left open ended by culminating on a half cadence. A 'one more time' follows in measure 59 and is utilised to bring about a more emphatic PAC four measures later (including a descending cadential contour).[160] In the chamber works, areas of extension often observe increases in momentum and surface rhythms. This is also the case here, albeit in a relatively smaller example as the OMT culminates on the PAC just over three measures later.

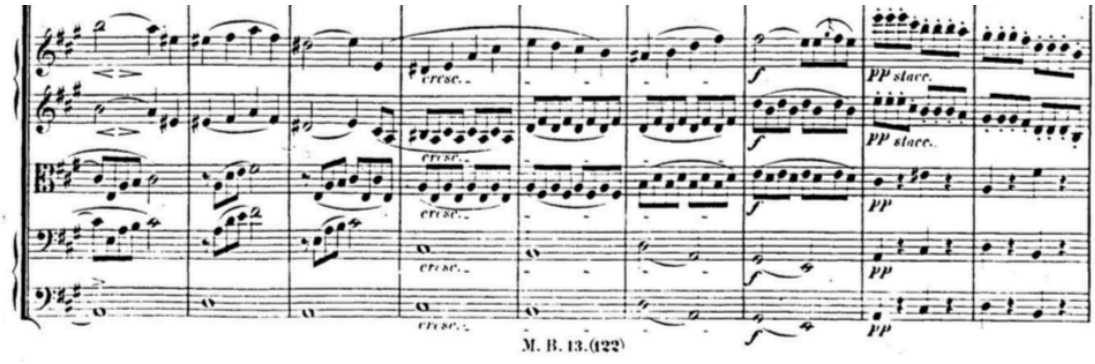
[160] In strict Caplinian terms, we might even say that the OMT is necessary, not just for thematic structural purposes, but also for the identification of a consequent syntax, which is predicated on the presence of a stronger close, balanced against the perceived weaker close of the antecedent.

Example 2.2.3/1: Overture *Die Heimkehr aus der Fremde* Main-Theme Syntax and Cadences

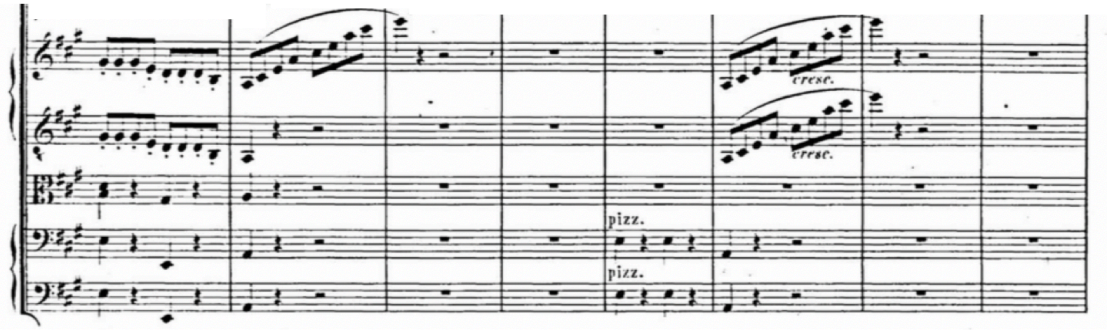
(1) Main Theme		
(2) Antecedent		Consequent
(3) Basic Idea	Contrasting Idea	Basic Idea
(4)	I:IAC	



(1)		
(2)		
(3)	Contrasting Idea	OMT
(4)	I:IAC	



(1)		Transition
(2)		
(3)		
(4)	I:PAC	



Mendelssohn's *Ruy Blas* overture, inspired by Victor Hugo's play,[161] has several false starts before the exposition-proper gets underway. The opening *Lento* idea, presenting four-measures of a solemn march,[162] produces a half cadence, and appears to act as an introductory gesture, slow in nature, but perhaps suggesting a condensed thematic-introduction. An *Allegro molto* ensues, but the first four measures of this act as another thematic delay, perhaps now an upbeat gesture similar to that seen in Op. 13's first movement. This 'thematic' section never materialises, and the four-measure *Lento* returns between measures 13 and 17 with two consequences: the introduction material now seems to protrude into the sonata space, and this initial *Allegro molto* is downgraded to a deceptive, faux-exposition launch. The second *Lento* again produces a C minor half cadence. What follows, a second *Allegro molto*, is more manifestly not the exposition launch. The material is transposed upwards by a perfect fourth, and drives towards another, third, occurrence of the *Lento*.[163] After producing another i:HC in measure 31, the material finally brings about a third *Allegro molto*, which now launches the main-theme zone in C minor. The structure of the introduction and main-theme group are outlined in the following table:

Table 2.2.3/3: Overture *Ruy Blas* Introduction; Main-Theme Syntax and Cadences

Syntax	**Introduction**					**Exposition**																	
	Lento 1		*Allegro molto 1*		*Lento 2*		*Allegro molto 2*		*Lento 3*	Main theme													
										Antecedent				Consequent									
										Presentation		*Continuation + cad.*		*Presentation*		*Continuation (Extended)*			OMT			
										St.	*Resp.*			*St.*	*Resp.*								
Cads.		HC				HC				HC				HC						1st attempt			PAC
M.	1	4	5		13	16	17		28	31	32	36	40	43	44	48	52			59	60		63-64

From the in-the-moment standpoint of the material between measures 1 and 32, it can at times be difficult to ascertain our position in the formal landscape. This is because, as Vande Moortele argues, the multitempo nature of the material obscures the distinction between what is introduction or exposition. Importantly, this obfuscation does not linger into the exposition-proper; it is clear from the standpoint of measure 32 that an exposition is now underway.[164] As shown, the syntax of the main theme begins with a relatively simple sentential antecedent, which produces a half cadence at measure 43. The consequent commences similarly, but the internal continuation is different, spinning-out the material of the preceding response phrase, and initially failing to produce a cadence. The extension (*Type* 3) attempts to cadence first at measure 59, but this does not materialise, and so the theme goes again (in the form of a 'one more time': *Extension Type 2*). Unlike in other examples, the OMT extension is not accompanied by an

[161] Steven Vande Moortele, *The Romantic Overture and Musical Form from Rossini to Wagner*, 129.
[162] The introduction, and the false-starts of the *Allegro molto* material is detailed further in Steven Vande Moortele, *The Romantic Overture and Musical Form from Rossini to Wagner*, 129-130.
[163] Steven Vande Moortele, *The Romantic Overture and Musical Form from Rossini to Wagner*, 130.
[164] Steven Vande Moortele, *The Romantic Overture and Musical Form from Rossini to Wagner*, 129 and 133.

intensification of rhythmic, or harmonic change or indeed of orchestration or rhetoric. From this point of view, the assertiveness of the PAC might appear to arrive suddenly. The theme's last section, between measures 60 and 64, features a bass line that rises chromatically from vii^6_5 through V^7 to i. Albeit this is a relatively small feature in this piece, it reflects a device found in other pieces in which a rising melodic/bass line pre-empts functional change.

Comparative Analysis: Exposition Category 1.a pieces and their Recapitulations

Looking at the analysis of the *1.a* movements in terms of recapitulatory correspondence, there is only one example that justifies this categorisation. The recapitulation of the *Trompeten-Ouvertüre* returns only to the first part of the main theme, corresponding to the exposition's antecedent phrase, thereby eliminating the larger consequent phrase, and producing a large truncation (recapitulation procedure 3). The music following the recapitulation's antecedent is reminiscent of the ostinato material of the transition. We might therefore presume that the recapitulation's main theme does not include a structural cadence, but this would be inaccurate. As the exposition demonstrates, the antecedent contains a more unusual choice of cadence: a PAC. In the recapitulation, this cadence is elevated from the intrathematic to the interthematic level, and likewise the sentential reading of the antecedent is also promoted. Therefore, although the exposition and recapitulation themes do not correspond in terms of their structural closure, the recapitulation does nevertheless feature a strong structural PAC, and the recapitulation also falls into *Category 1.a*.

Material of *Die Heimkehr aus der Fremde*'s main theme is also truncated in the recapitulation (recapitulation procedure 3).[165] The periodic design of the exposition is present, but the recapitulation features only the material up to the consequent's IAC. Whereas the exposition provides a further 'one more time' to produce a subsequent PAC, that segment is missing here, and, after the IAC, much of the transition's material (particularly a rotation of the P-theme) is omitted. Following a short link, the material heads straight for the MC-fill section and into the subordinate theme. As the PAC is jettisoned in the recapitulation, the efficacy of the main theme's structural cadence is diminished, and the piece is downgraded from *Category 1.a* to *Category 1.c*.

If the start of the exposition in *Ruy Blas* is obscured by the multitempo introduction, the same cannot be said for the recapitulation. The material jumps straight into the main theme, deleting the opening multitempo *Lento* and *Allegro molto* sections. The recapitulation is once again heavily truncated.

[165] It should be noted that *Die Heimkehr aus der Fremde* is a sonata without development. Following the exposition's codetta, there is a short retransition before the recapitulation sets off at measure 206.

The theme begins with the opening of the antecedent, corresponding to the statement (measures 246-250 match with measures 32-36) and the initial segment of the response. Measures 250-253 roughly correspond with 36-39, but the end of the response phrase is removed, and the material moves straight to an idea similar to that of the consequent's continuation phrase (at measure 52). Therefore, elements of the exposition syntax have been knitted together to form a sentence, with the presentation originating in the antecedent, and the continuation originating in the consequent. This continuation idea lasts for approximately seven measures; it dissolves at measure 261 and goes directly to the last four measures of the transition section. This merges the two functions (recapitulation procedure 4, MT⇒TR) and means that much of the exposition's transition is also removed (truncation, recapitulation procedure 3). The deletion of significant portions of the main-theme syntax means that the antecedent's HC and the consequent's PAC are both deleted, and the recapitulation's main theme fails to produce any structural cadence. The recapitulation therefore employs *Closure Category 2.c*, owing to the dissolving continuation.

While the thematic return of the main theme occurs in measure 246, the same cannot be said for the harmonic return. The statement commences over an E-flat pedal, lasting for three measures, before moving V^7/V-V to produce a half cadence (in first inversion). A dominant pedal persists under the response phrase, and into the ensuing continuation. The bass moves in step wise motion through A-flat and B-natural, and C is never fully secured. At best, the four measures of transition-like material (measures 261-264) post-MT dissolution feature a step-wise scale in contrary motion (ascent in the woodwind, and descent in the strings), the final pitch of which is C, but this is elided with the next section, the introductory *Lento*, which now appears as a melodic infiltration.[166] Despite the fact that the recapitulation is functionally separate from the development in this piece, C minor is yet to receive a true harmonic reprise or a structural support, beyond the limited half cadence concluding the statement.

Die Hebriden

Of all of Mendelssohn's overtures, *Die Hebriden* has received the most attention, not least in terms of its musicological, historical, and narrative associations. *Die Hebriden* was first conceived during Mendelssohn's walking tour in August 1829, and there is evidence of a sketch of the opening theme from a letter dated 7th August that year.[167] Significantly, this is the day before the trip to Fingal's Cave. As Todd has observed the opening sequential idea, based on B minor, D major, and F-sharp minor, was already in place at this time, and remained largely unchanged.[168] Over a year passed before major work on the

[166] Steven Vande Moortele, *The Romantic Overture and Musical Form from Rossini to Wagner*, 135-6.
[167] R. Larry Todd, *Mendelssohn: The Hebrides and Other Overtures*, 26-27.
[168] R. Larry Todd, *Mendelssohn: The Hebrides and Other Overtures*, 26-27.

overture would continue (August 1830), and the first score was completed that December. Further revisions, as is common with Mendelssohn, would follow. Unlike other programmatic music, where the musical influence is more conspicuous because of association with a specific play or poem, *Die Hebriden* is about Mendelssohn's own sense, perception, and vision of his Scottish trip. As Todd notes, Mendelssohn sought to encapsulate a 'primitive, rough-hewn quality, to grasp musically something of the desolate, uninhabited scenes.'[169] This primitivism is foremost manifest in the main theme. The melodic content of the theme has also received much attention; Vande Moortele, for example, argues that the opening main-theme section 'does not articulate a melody.'[170] This is owing to the fragmented and introductory nature of the theme, and its perceived lack of 'melodicity'. He regards the opening material as providing the functional and formal position of a main theme but holds that it lacks the intrinsic character of one. He further argues that the rudimentary nature of this material provides for a melodic vacuum, filled only when the subordinate theme enters. Other commentators have picked up a similar argument: Thomas Grey contends that, melodically, the subordinate theme is the first 'real' theme of the piece.[171] While the opening section may not contain the intrinsic character often associated with main themes, the section is nonetheless one of the most famous and favoured 'melodies' from Mendelssohn's oeuvre.

On the syntax of this main theme, Vande Moortele sees measures 1-9 as representative of a first statement of the theme (fashioned as a loose sentence), with a subsequent repetition and expansion.[172] I do not wholly disagree with this, but I have taken the view that this first statement can be equated with an antecedent, and the subsequent restatement and expansion as an extended consequent. In doing so, I am again allowing for the possibility of an antecedent phrase ending with an alternative cadence to the HC. The antecedent is then comprised of the loose sentence: basic idea + b.i. sequence + b.i. sequence + continuation. The antecedent terminates on a very unusual plagal cadence on the downbeat of measure 9, although its articulation is relatively weak, presenting another example of the imperfect plagal cadence. Although the ensuing material, given that it is manifestly grander in orchestration and texture, might appear as a stronger repeat of the theme, I believe that Mendelssohn frequently employs consequents that contain this magnified quality (evidenced further in the symphonies), particularly in more public genres, in which the consequent acts as a type of rhetorical bridge, allowing for greater correlation between the end of the theme and the start of the transition. The consequent transfers the melody to the violin I and II, and opens with the basic idea and its first sequence. The second sequence is omitted and progresses straight to the continuation. The four-measure continuation produces a local i:PAC, but this is not the main theme's structural close. The continuation is reasserted at measure 17 (*Extension Type 3*), but the

[169] R. Larry Todd, *Mendelssohn: The Hebrides and Other Overtures*, 47.
[170] Steven Vande Moortele, *The Romantic Overture and Musical Form from Rossini to Wagner*, 152.
[171] Thomas Grey, 'Fingal's Cave and Ossian's Dream: Music, Image, and Phantasmagoric Audition', in *The Arts Entwined: Music and Painting in the Nineteenth Century*, ed. by Marsha L. Morton and Peter L. Schmunk (New York: Garland, 2000): 80.
[172] Steven Vande Moortele, *The Romantic Overture and Musical Form from Rossini to Wagner*, 152.

material is interrupted in measures 21-22. A more emphatic cadential phrase is presented in measures 23-26, producing the i:PAC structural cadence. The cadence features a marked descent: the last two measures of the continuation and the cadence phrase itself are both distinctly downward in motion. This is one of the foremost examples of a main theme that does not follow the tight-knit structure expounded by Caplin. Nonetheless, in spite of the melodic content, the perceived primitivism, or the fragmentary or introductory qualities it might contain, this is a theme that produces an emphatic PAC, thereby belonging to *Category 1.a*. Indeed, perhaps the looseness of the internal thematic structure necessitates this emphatic cadential pronouncement. Moreover, if the subordinate theme is the melodically and syntactically principal theme, then whether this manages to produce a cadence will be of critical evaluation.

Table 2.2.3/4: Overture *Die Hebriden* Main-Theme Syntax and Cadences

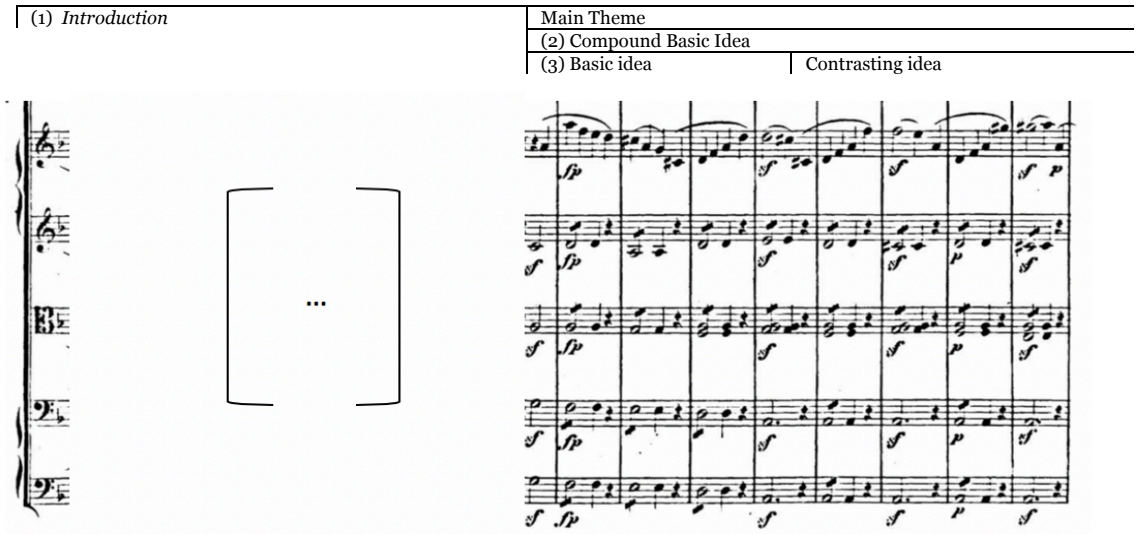
Syntax	Main theme											
	Antecedent				Consequent		*(extension)*					
	b.i.	b.i. seq.	b.i. seq.	Contin. + cad.	b.i.	b.i. seq.	Contin. + cad.	Contin.	Int.	Cadence		
Cadences				PC			PAC			PAC		
M.	1	3	5	7	8	9	11	13	16	17	21	23	26
(Based on)	*B min.*	*D maj.*	*F♯min.*			*B min.*	*D maj.*						

The recapitulation of *Die Hebriden* does not waste much time dispatching with the main theme. Returning in measure 180 in B minor, some elements of the syntax are returned. The opening two-measure basic idea is present but leads into another two-measure idea based still in B minor (rather than the D major b.i. sequence as in the exposition). This extension/interruption in measures 182-183 appears as a quasi-inversion-like idea of measures 180-181. Measure 184 picks back up with the first b.i. sequence (in D major) and contains its own two-measure interruption addendum (measures 186-187). The ensuing material of the exposition is discarded, and the material goes straight to the consequent's continuation section (either measure 13 or measure 17, as both set out similarly). After some four measures, this continuation fails to produce a cadence, and the music abandons the main-theme group, meaning that the recapitulation falls under *Closure Category 2.b*. The dissolving continuation leads directly to a transition-like section, beginning at measure 194, which forms a melancholic descending pattern progressing straight to the subordinate theme at measure 202. The fragmentary nature of *Die Hebriden*'s main theme has caught up with itself here, and the recapitulation fails to produce a structural cadence (unlike the exposition, but not unlike many of Mendelssohn's other sonata-form recapitulations).

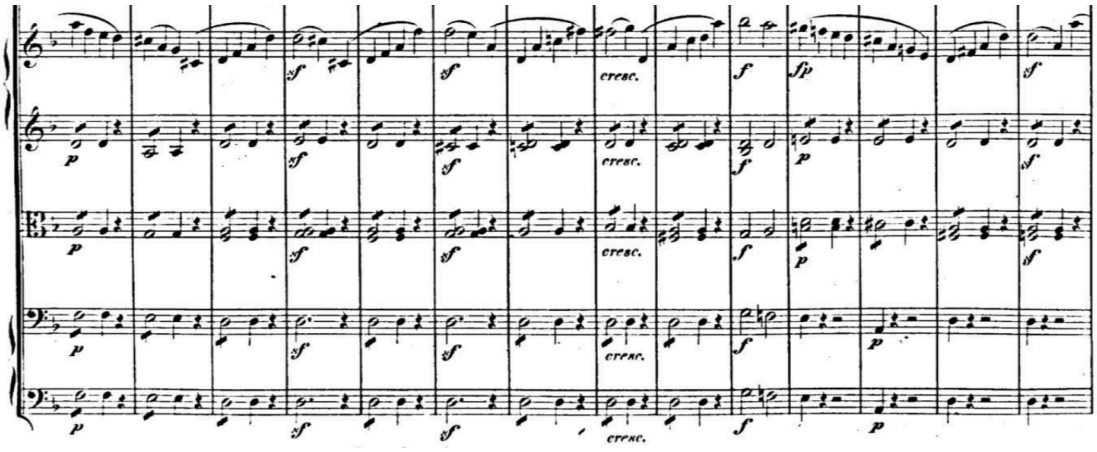
Exposition Main Themes (and Recapitulation Comparative Analysis): Closure Category 1.b

The second category featured in the case study, *Closure Category 1.b*, encompasses expositions where a PAC is produced, but the articulation is comparatively weaker than those seen in group one. The weak PAC is produced in only one example: the main theme to *Athalie*. The theme follows an introduction, and, beginning in measure 68 in D minor, the syntax is a compound basic idea + consequent. The theme's opening eight-measure unit is initially suggestive of an antecedent, but the V pedal undermines a cadential reading, thereby reframing the section as a compound basic idea. The consequent retrieves the basic idea and contrasting idea, but does not produce a cadence. An extension is included, initially moving to an unresolved cadential-$^{6}_{4}$ in measure 98. The theme drives more decidedly towards cadential closure thereafter, and a cadence is achieved in measure 108. Audibly, this represents a strong PAC. However, this tonic chord is both the culmination of the main theme, and the initiation of the transition, meaning that the two are elided. This theme is more emphatically marked than those in, say, the string quartets' *Category 1.b*, but any formal/functional elision is classified as such. As the extra syntax at the end of the theme primarily serves to delay the final cadence, we might group this under *Extension Type 3*. Again, the final cadential attempt in the piece mostly rises until V is achieved, wherein the descending contour to $\hat{1}$ is produced.

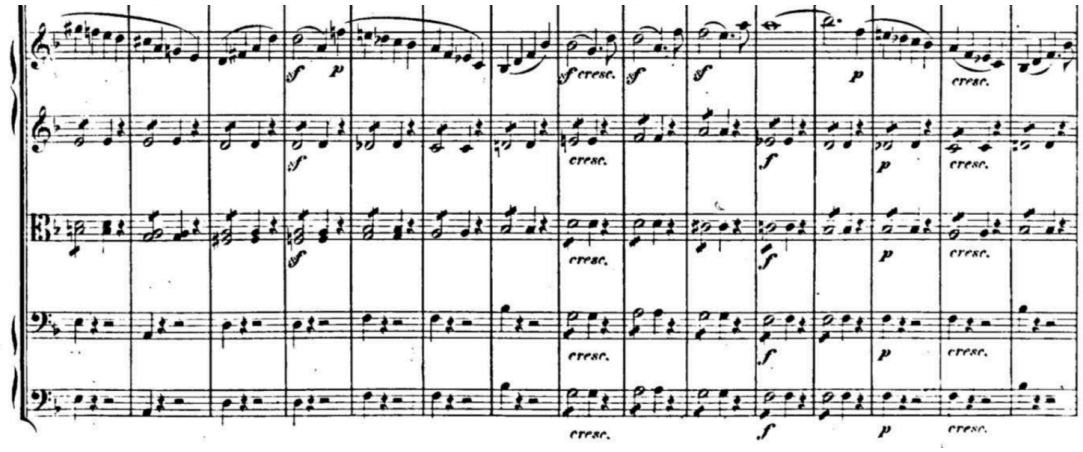
Example 2.2.3/2: Overture *Athalie* Main-Theme Syntax and Cadences



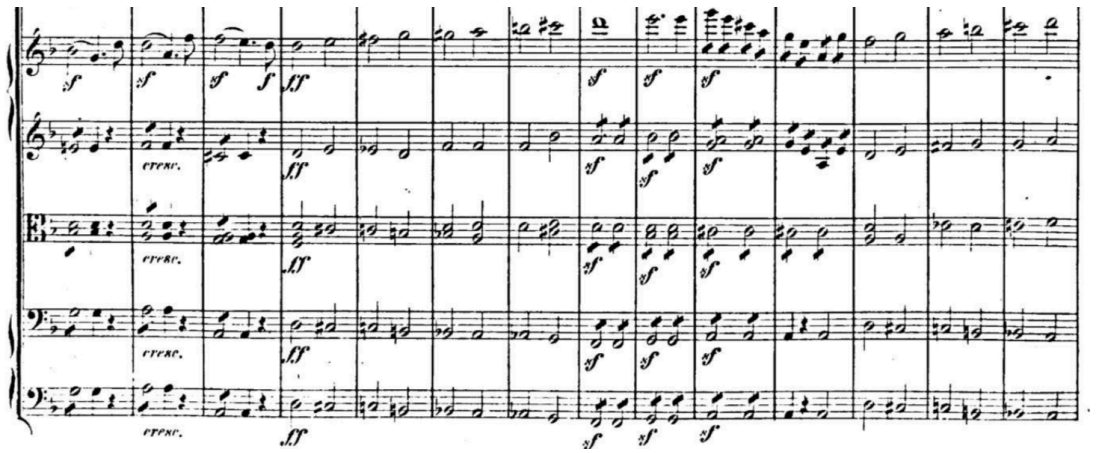
(1)		
(2) Consequent		
(3) Basic idea	Contrasting idea	Extension



(1)		
(2)		
(3)		Cadential $^{6}_{4}$



(1)	Transition
(2)	
(3) PAC	



Most unusually, the main theme of *Athalie* is not included in the recapitulation. Instead, the material is centred around the subordinate themes (ST1 and ST2), and the returning chorale from the introduction, both of which vie for dominance. In the exposition, ST2 fails to produce the structural cadence (Hepokoski and Darcy's EEC), and instead leads to an interruption of the chorale material at measure 192. The closing section (which I retrospectively consider as beginning in measure 198, directly following this interruption) brings a quasi-rotation of the main theme in measure 209. I believe that this return of main-theme material functions as a means of bringing closure: the structural A minor (emphatic) cadence is eventually secured by this main-theme rotation. This analysis differs from Vande Moortele. He sees measure 198 as representative of a linking section, and the main-theme material as a resumption of the subordinate theme. In this sense, the 'subordinate theme' does therefore achieve its closure, but I do not agree with seeing this section as a recommencement of the secondary-theme zone. Instead, I argue that Mendelssohn's subordinate themes frequently do not achieve closure (in this specific instance, largely owing to the chorale interruption). The energy-gain produced at measure 198 launches a closing section that utilises main-theme material as a vehicle for producing the structural closure, and given that the recovered closing section A theme commences over a $^{6}_{3}$, this suggests an ECP (which Mendelssohn also utilises in *Die schöne Melusine*).

This MT quasi-rotation in the closing section is the only recurrence of main-theme material in the piece: the recapitulation, beginning in measure 270, commences with ST1, thereby producing the possibility of a Type 2 sonata. This is a significant truncation, not directly similar to other forms of truncation witnessed in Mendelssohn. Truncation is a tool which he employs prolifically across recapitulations, but it is used more frequently as a tool to shorten interthematic functions by removing layers of syntax at the intrathematic level. The truncation here demotes the importance of the main theme in this movement, in favour of ST1, ST2, and the introduction. The introduction-coda frame, the subordinate theme, and the recapitulation are further detailed in later chapters.

Exposition Main Themes (and Recapitulation Comparative Analysis): Closure Category 1.c

The third cadential category witnessed in the overtures is *Category 1.c*, where an IAC is produced instead of a PAC. This is evidenced in just one example: *Die erste Walpurgisnacht*. Following a brief four-measure thematic introduction (which again bears resemblance to a cadential-like declamation, similar to Op. 44 No.1/iv), the main theme is comprised of a sentence (Table 2.2.3/5). The presentation (upbeat to measure 5 to measure 12) divides into a statement and a response. The statement appears to have loosely cadential content at its end (HC, although given that this is in first inversion, and is present in a statement function,

this is unlikely to be a true cadence, and thereby containes cadential content if not cadential function), but the response provides a clearer HC function. The continuation commences at the upbeat to measure 13 and begins to liquidate in measures 17-20. A cadential phrase is initiated thereafter, and stalls on V in three places: measures 24, 26, and 28. This acts as a means of prolonging the dominant (and therefore belongs to *Extension Type 3*). The last presentation of the dominant in measure 28 acts as both a point of pause, and as the structural dominant of the ensuing 'cadence'. A very loose IAC is formed in measure 32, but the last two beats of the main-theme cadence form the first two beats of the transition (which begins with a repetition of the statement's motive), meaning that the theme and transition are elided. Therefore, the cadential articulation is undermined three times: first, there is no overt structural dominant directly preceding the tonic, and the material must instead rely on the dominant prolongation, and the final dominant achieved in this phrase at measure 28, as a type of 'lingering' dominant; second, by the less emphatic IAC; and third, by the elision of the two action zones. The outline of motion over the last V and the I is descending in trajectory, down to the scale-degree 3 of the IAC.

Die erste Walpurgisnacht is a striking example of proliferation caused by cadential deferral, and Mendelssohn's tendency to push for forward momentum rather than to secure structural boundaries. The large cadence phrase witnesses significant increases in rhythmic value, and with the introduction of the woodwind from measure 24, an escalation of orchestration and texture. This essentially acts as a form of continuity between the theme and the transition, with the final eight measures acquiring characteristics more typically associated with transitions.

Table 2.2.3/5: Overture *Die erste Walpurgisnacht* Main-Theme Syntax and Cadences

Syntax	Introduction	Main-theme group				
		Presentation		Continuation	Cadence	
		St.	Resp.			
Cadences						IAC
M.	1	4	8	12	21	32

The main-theme group is destabilised further in the recapitulation. Following an interruption in the bassoon, a quasi-false-start recap is presented. It seems fairly clear though that this will not represent the true recapitulation. Over the course of measures 187 to 227, the material presents a series of bassoon interruptions followed by the statement phrase of the main theme, and as each is introduced it becomes ever more evident that these are not true recapitulation launches. The recapitulation proper enters in measure 228 and retrieves the presentation phrase and the beginning four-measure idea of the continuation. Thereafter, the material dissolves, and as has become common with Mendelssohn, the

recapitulation main-theme group does not produce a cadence. As the continuation syntax dissolves, this recapitulation represents *Closure Category 2.b*.

Exposition Main Themes (and Recapitulation Comparative Analysis): Closure Category 1.d

Finished in August 1826, *Ouvertüre zum Sommernachtstraum* is the best and certainly most explicit example of programmatic music in Mendelssohn's oeuvre. Although he was notoriously reserved about any programmatic context for his music, even Mendelssohn wrote in 1833 that an accompanying summary for the listener would be beneficial.[173] The programmatic elements of the music are less overt in the overture, but in the later incidental music (Op. 61, prepared for the King of Prussia), the characterisations were much more forthright.[174] Perhaps owing to the multiple characterisations necessitated by the dramatic context, the overture is particularly noteworthy for its profusion of thematic ideas across the movement (particularly in the transition and subordinate theme). The one action space that is comparatively minimalistic or frugal in its quantity of distinct ideas is the main-theme group.

The syntax of the main theme is of a loose design, based on two principal ideas: a basic idea and a contrasting idea, each of eight-measures duration. The theme, beginning in measure 6, initially projects a small ternary form. The A section is based on the basic idea, and features both an initial presentation of the idea, and its direct repeat, such that we might initially suspect a statement + repetition design. However, both basic ideas contain cadential function, rather than the prolongation we might expect of a statement + repetition. Despite the retrieval of material, this section does not seem periodic, as the second basic idea is a direct repetition of the first. It therefore seems best to consider this section as formed just of two, repeated basic ideas, with (uncharacteristic, for the classical period) cadential functions. The second melodic segment, the contrasting idea, is introduced in the B section. This too produces a cadence: a converging HC on the downbeat of measure 32. With the subsequent return of the basic idea, the small ternary form seems set. The eight-measure basic idea drives towards an E minor PAC in measures 38-39; however, this cadence is evaded, as the harmony directly following the penultimate dominant does not represent a tonic resolution, and is instead undercut by a two-measure interruption directly set against this in the woodwind and brass. At this point, a series of 'one more time' modules significantly distend the main-theme group (*Extension Type 2)*. The first 'one more time' uses the contrasting material from the B section to attempt a cadence, but, as in the earlier material, this at best achieves another converging half cadence. The second 'one more time' employs the basic idea, again in an attempt to cadence. This produces

[173] The full text of this exchange with Breitkopf & Härtel is provided in Todd, *Mendelssohn: The Hebrides and Other Overtures*, 72.
[174] For more on this see Steven Vande Moortele, *The Romantic Overture and Musical Form from Rossini to Wagner*, 83-92 and especially Todd, *Mendelssohn: The Hebrides and Other Overtures*, 71-74.

another E minor evaded PAC. Once again, the contrasting material enters, but is altered. After four measures the material changes, and a sudden PAC in E major is sounded. This corresponds with *Category 1.d*, where a non-tonic cadence (in the context of the exposition) is produced. The shape of the melodic path is mostly descending, although the range is relatively limited, and the final harmonic articulation is quite sudden. The theme is, therefore, highly proliferative: the enlargement of basic and contrasting ideas (*Expansion Type 1*); the formation of an initial ternary form (*Expansion Type 2*); the interruptions which enlarge the overall main-theme group (quasi-*Extension Type 4*); and the series of 'one-more times' which significantly delay cadential articulation (*Extension Type 2*).

Table 2.2.3/6: *Ouvertüre zum Sommernachtstraum* Main-Theme Syntax and Cadences

Syntax	Main Theme group																					
	Ternary Form *(extended)*																					
	A				B		A^1				OMT		OMT				OMT + cadence					
	Basic idea		Basic idea repeated		Contrasting idea		Basic idea		*Interruption*		(Contrasting idea material)		(Basic idea material)		*Interruption*		(Shortened contrast. material)					
Cadences		i:HC		i:HC		i:HC		Ev. PAC				i:HC		Ev. PAC								I:PAC
Bars	8	15	16	23	24	31	32	38-39			41	48	49	56-57			58					62

The ensuing material from measure 62 proceeds in E major in a manner that at first might resemble thematic material (with some loose thematic functions present). Indeed, by comparison with the syntactically looser, more harmonically unstable (in terms of cadences), and more melodically fragmented nature of the foregoing main-theme material, it might seem that measure 62 initially launches a more stable section of the main theme (a main-theme part 2). Moreover, the opening main-theme material features a disconnect between the modality of the theme's material (E minor), and the structural cadence (E major). However, there are several analytical reasons why measure 62 should be regarded as the start of the transition rather than a secondary main-theme zone. First, although the material initially presents thematic syntax (with four distinct basic ideas),[175] the syntax soon becomes fragmentary, and this undermines the thematic reading. Second, it is difficult to pin-point an exact location for where MT2 might end, and the transition proper begins. From the viewpoint of measure 78, we seem more firmly in transitional territory, but it is clear that this forms part of a larger unit which began in measure 62. Certainly, there is no overt cadential marker. Finally, and perhaps most tellingly, this material is jettisoned from the recapitulation, meaning that only the material up to measure 62 is returned. This MT2/TR is

[175] Basic idea *a* is presented in the strings in measures 62-65 (repeated in measures 66-69); Basic idea *b* is presented in violin I and II in measures 70-73 (repeated in measures 74-77); Basic idea *c* is presented in the wind and brass in measures 78-84 (repeated in measures 86-94); Basic idea *d* is presented in the strings in measures 84-86 (repeated, beginning in measure 93, where it is extended and dissolves).

omitted in the truncation of material from the exposition. As such, I regard measure 62 as the beginning of the transition material.

Returning to the tonality of the main-theme cadence, it is significant that this is in E major. The piece opens with a short five-measure introduction centred on E major that is modally shifted to E minor by the second violins, and the theme proceeds in the minor mode. However, E minor is never fully stabilised; as the analysis has shown, the theme contains only half cadences in the minor mode prior to the surprising move to E major for the ultimate cadence. Given that the second section of the exposition will modulate, E minor is therefore not marked by a PAC in the exposition.

This has important ramifications for the return of material in the recapitulation, and the global tonic as a whole. In terms of the recapitulation syntax, as we have come to expect with Mendelssohn, significant truncation is apparent (recapitulation procedure 3). Following a return of the introductory gesture (more on which will follow in later analysis), the main theme commences at measure 404 with the beginning of the ternary form. The entirety of the A and B/contrasting middle sections are retrieved (each with their corresponding half cadences). The A^1 is not fully returned, however; the music sets out at measure 428 with material reminiscent of the basic idea, but this soon begins to deviate from the exposition, and commences a modulation to E major. As the functional transformation operates on a previously ternary form design, the recapitulation evidences *Closure Category 2*.c. The subsequent transition material (which, in the context of the exposition might have initially suggested a MT2) is removed. The modulation of the A^1's dissolving basic idea into E major is significant, as it serves to provide further support for the global tonic, rather than support for the modality of the thematic content itself. Furthermore, the main theme does not end with a cadence in the recapitulation, supplementing the argument that Mendelssohn's recapitulations predominantly do not feature a main-theme cadence (often because of syntactic truncation).

Exposition Main Themes (and Recapitulation Comparative Analysis): Closure Category 2.a

Meeresstille und glückliche Fahrt (Calm Sea and Prosperous Voyage) lacks a final cadence as a result of functional transformation, and given the specific manner in which the material is treated, it falls under *Closure Categories 2.a*. *Meeresstille und glückliche Fahrt* owes its compositional genesis to Beethoven, with Silber Ballan arguing that Beethoven's cantata (of the same name), Op. 112, and A.B. Marx's review of the piece, may have gone some way towards inspiring Mendelssohn to produce a concert overture on

the same topic.[176] Although he may not have wished for the opening *Adagio* section to be regarded as an introduction,[177] the piece does nonetheless appear to commence with a slow introduction, representing the 'calm sea'. Another example of a multitempo introduction similar to *Athalie*, the *Molto Allegro e vivace* section in measure 49, marked as the 'prosperous voyage', does not launch the main theme. This comes some time later, in measure 99 in the woodwind. The main theme features a compound basic idea + consequent hybrid. The compound basic idea opens oddly with *pianissimo* dynamics, and features a sentential basic idea: statement (measures 99-102), response (measures 103-106), and continuation (measure 107-downbeat of measure 113). The basic idea appears to culminate on a very unusual plagal cadence (which foreshadows a similar practice, albeit at the end of an antecedent rather than a basic idea, in Mendelssohn's *Die Hebriden* two years later). The internal structure of the contrasting idea (beginning measure 113) is much looser. Its function seems similar to a continuation phrase, such that we might reframe the overall basic idea (measures 99-113) as a type of presentation (with plagal cadence), with ensuing contrasting idea/continuation function (from measure 113). The final section of the continuation (measures 124-128) does not produce a cadence (which is what distinguishes this as a compound basic idea, rather than an antecedent) but it does include an ascending contour, which often signals functional change (in place of a cadence).

As is typical with Mendelssohn, his second hearing of the theme, the tutti quasi-repeat, which I have labelled as a consequent, is suitably louder (*fortissimo*) and denser in texture and orchestration. The material retrieves the basic idea (with its internal sentential functions), but the internal continuation does not produce a plagal cadence (as in the earlier music). Instead, the material continues in an attempt to cadence more emphatically. This is destabilised from measure 145, and the material begins to dissolve. Transitional rhetoric is clearly apparent from measure 149, confirming that the theme's consequent has dissolved into transition.

This is a noticeable example of a device typically employed by Mendelssohn when no main-theme cadence is produced. Towards the end of the completed syntax (i.e., syntax which is fully developed, measures 124-128), Mendelssohn uses a prominent ascending contour. Frequently, as in this example, this takes place at the end of a large compound basic idea or antecedent phrase (what we might refer to as a grand CBI/antecedent). The striking ascending line acts as an audible trigger for functional change, and is particularly present in pieces where no subsequent structural boundary is present. Given the frequency with which this device is used, this raises the question of whether this is a frequent, normative device for Mendelssohn, where he subsequently declines to utilise the cadential option. In addition to this, the final elements of thematic syntax (the dissolving consequent) feature an amplification of orchestration, texture,

[176] Judith Silber Ballan, 'Marxian programmatic music: a stage in Mendelssohn's music development' in *Mendelssohn Studies*, ed. by R. Larry Todd (Cambridge: Cambridge University Press, 1992): 155.
[177] See R. Larry Todd, *Mendelssohn: The Hebrides and Other Overtures*, 21.

and rhythmic value. These are the same qualities typically featured in extension techniques, and although in this overture they do not lead to a cadential function, they again act as a means of continuity between the theme and transition, and catapult the momentum of the piece forward. The large-scale expansion of the opening phrase has, as mentioned above, produced a grand compound basic idea + grand consequent configuration. Together with the sentential reading of the compound basic idea, both devices act as a means of proliferation (predominantly *Expansion Type 1*).

Table 2.2.3/7: Overture *Meeresstille und glückliche Fahrt* Main-Theme Syntax and Cadences

Syntax	Slow Intro	In-tempo Intro	Main-theme group								
			Compound Basic Idea					Consequent			
			Basic Idea /*possible Pres. Function*				Contrasting Idea /*possible Contin. Function*	Basic Idea			… dissolves
			St.	Resp.	Contin.			St.	Resp.	Contin.	
Cadences						PC					
M.	1	49	99	103	107	113		129	133	137	

Consideration of the return of material in the recapitulation must first confront the possibility of this being a 'Type 2 sonata.'[178] Unlike *Athalie*, where the main theme is simply removed from the recapitulation, *Meeresstille und glückliche Fahrt* reprises both the main and subordinate theme groups, but in reverse order. For Hepokoski and Darcy, assignment of the term recapitulation would itself be misleading, as they believe that S-space cannot launch a recapitulation. Instead, the Type 2 sonata contains two rotations, with the development marking the onset of the second. Any return of main-theme material post-S (in the alleged recapitulation zone) forms part of a coda. As Vande Moortele has explored, this concept is problematic (he argues instead for a reading of 'reordered recapitulations'[179]), as it reduces vast quantities of material (including, possibly, the entirety of the first half of the exposition) to an apparent parageneric space (the coda), thereby forcing a reading on the material that is vastly end-weighted (given that the coda may now be the largest constituent part), and places even more emphasis on a (parageneric) space that, according to Sonata Theory, stands outside the sonata form itself.[180] Moreover, the practice of the Type 2 sonata had significantly reduced by the time of Mendelssohn, and so its application may not be as robust, as nineteenth-century theorists and composers did not have any real consciousness of the Type 2:

[178] Hepokoski and Darcy, *Elements of Sonata Theory*, 353-387.
[179] Steven Vande Moortele, *The Romantic Overture and Musical Form from Rossini to Wagner*, 236-240.
[180] More detail on this can be found in Steven Vande Moortele, *The Romantic Overture and Musical Form from Rossini to Wagner*, 236-240.

> the "Type 2 sonata" is primarily a formal type of the mid-eighteenth century … it grew increasingly rare after 1770 … What is more, the type is never discussed in the nineteenth-century theoretical literature … awareness of the "Type 2 sonata" as a formal type in its own right was non-existent, even for eighteenth-century works.[181]

In their Mendelssohn sonata-form study, Wingfield and Horton explore Mendelssohn's compositions through the lens of deformation theory. They consider 'reversed or partly reversed recapitulations' as forming one of twelve categories of 'sonata deformation', although their purpose is clearly to highlight the commonality of these so-called deformations, and in so doing question the use of the term deformation itself.[182] If the Type 2 sonata seems ill-fitting, then perhaps Wingfield and Horton's 'reversed or partly reversed recapitulations' or Vande Moortele's procedure involving 'reordering, or the redistribution of material from the exposition over the course of the recapitulation'[183] are better. Utilising reversed recapitulation, *Meeresstille und glückliche Fahrt* is a clear example, as the recapitulation commences in measure 378 with the subordinate theme. There is a clear functional difference between the development and recapitulation spaces (they are not elided, as with many of the examples seen in the other case studies), but the harmonic reprise does not coincide with the thematic return. The subordinate theme features a pronounced dominant pedal in the bass, underlying the D major melody. There is little material between the S return and the subsequent MT, but it is not until the reprise of the main-theme material that D is secured in the bass.

As usual, the subordinate theme is returned in truncated form: of the periodic design, the antecedent is recalled, and so too is part of the consequent, but this soon dissolves, and leads directly into the main theme, without much transition, retransition, or linking function, thereby merging three of the expositional functional zones: main theme, transition, and subordinate theme.[184] The main-theme return is also heavily truncated. The initial basic idea is mostly retrieved, with the statement (measures 400-403) and response (measures 404-407) present, but soon after the onset of the internal continuation (in measure 408) the material deviates (from measure 412). The exposition's transition theme returns, meaning that the basic-idea plagal cadence, the contrasting idea, and the entirety of the dissolving consequent are removed. The recapitulation main theme, like the exposition, does not produce a cadence, but the function of dissolution is applied to a much earlier part of the theme's syntax (thereby correlating with *Closure Category 2.c*).

Thus far in the recapitulation, there is no structural cadence supporting the tonic, either in the subordinate or main-theme reprises, as both feature functional transformation. The material beginning

[181] Steven Vande Moortele, *The Romantic Overture and Musical Form from Rossini to Wagner*, 237.
[182] Paul Wingfield and Julian Horton, 'Norm and Deformation in Mendelssohn's Sonata Forms', 99.
[183] Steven Vande Moortele, *The Romantic Overture and Musical Form from Rossini to Wagner*, 228.
[184] The subordinate theme will be covered further in "Part Three".

at measure 416 introduces the exposition's transition theme, which acts as a closing section pre-cadence. This establishes a long-range teleology for the piece, which now must pursue cadential closure.

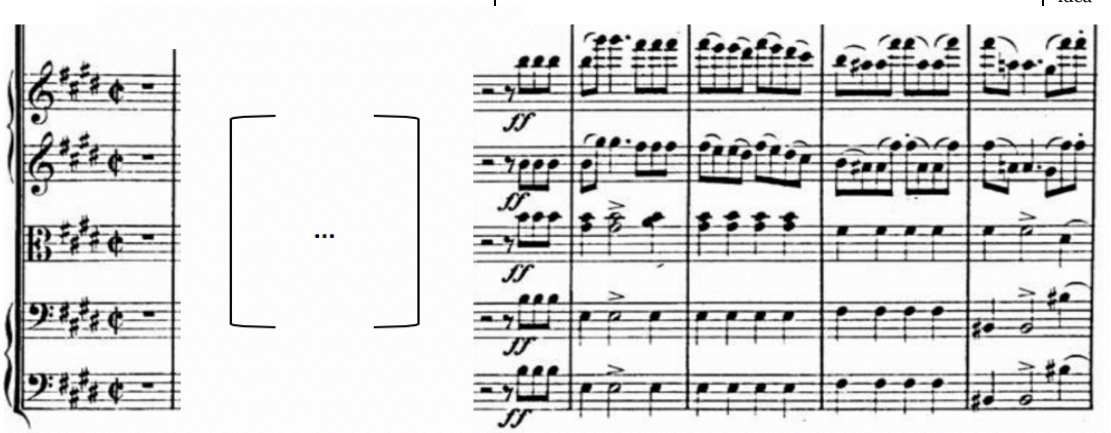
Exposition Main Themes (and Recapitulation Comparative Analysis): Closure Category 3

Die Hochzeit des Camacho's exposition does feature a consequent that fails to produce a cadence, but the consequent is first distended by several cadential attempts and evaded cadences, thereby categorising it under *Closure Category 3*. *Die Hochzeit des Camacho* is specifically distinct from *Meeresstille und glückliche Fahrt* because it features several concluding cadential functions whose aims are to bring about cadential closure, but the concluding harmony and cadential motion itself is absent. Following a short in-tempo introduction, the main theme commences with a periodic design. The antecedent comprises the common four-measure basic idea (measures 8-12) + four-measure contrasting idea (measures 12-16) + HC configuration. As with Op. 18/iv, the cadence concluding the antecedent is presented as a PAC in the dominant, but given the subsequent reassertion of the tonic in the consequent phrase, this is another Caplinian reinterpreted half cadence.[185] The consequent begins by retrieving the basic idea (measures 16-20), but after the initial two measures of the contrasting idea, the material begins to diverge from the antecedent. The contrasting idea (from measure 20) first attempts to cadence in measure 24, and again in measure 26, but the material across these two undertakings instead stands on the dominant. A third attempt is initiated in measure 27, but the rising bass line in measure 31 goes no further than V on the downbeat of measure 32, elided to the onset of transition rhetoric in the same measure, which means that the concluding tonic is evaded, no main-theme cadence is produced, and the consequent concedes to the transition. This is another brief example of an overture where an ascending line in the bass, rather than a cadence, heralds functional change. Additionally, the multiple attempts to cadence further extend the main-theme group through *Extension Type 3*.

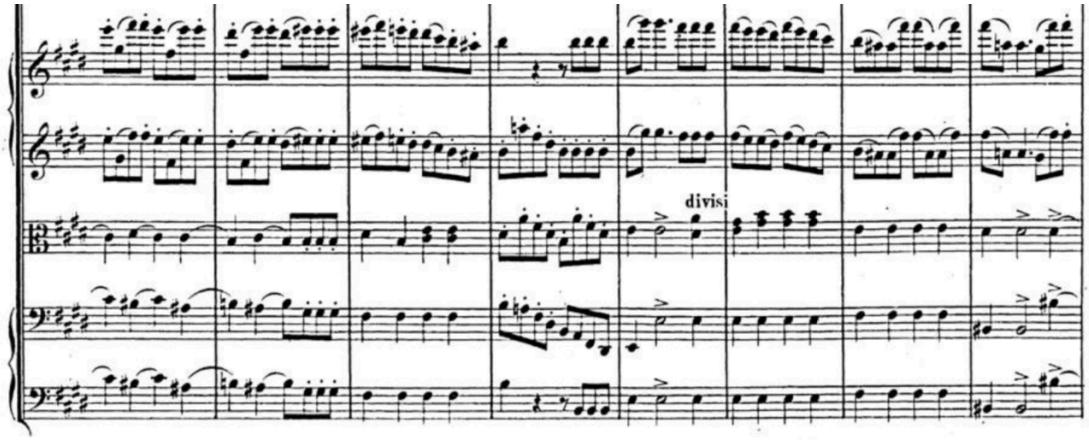
[185] William E. Caplin, *Analyzing Classical Form*, 90.

Example 2.2.3/3: Overture *Die Hochzeit des Camacho* Main-Theme Syntax and Cadences

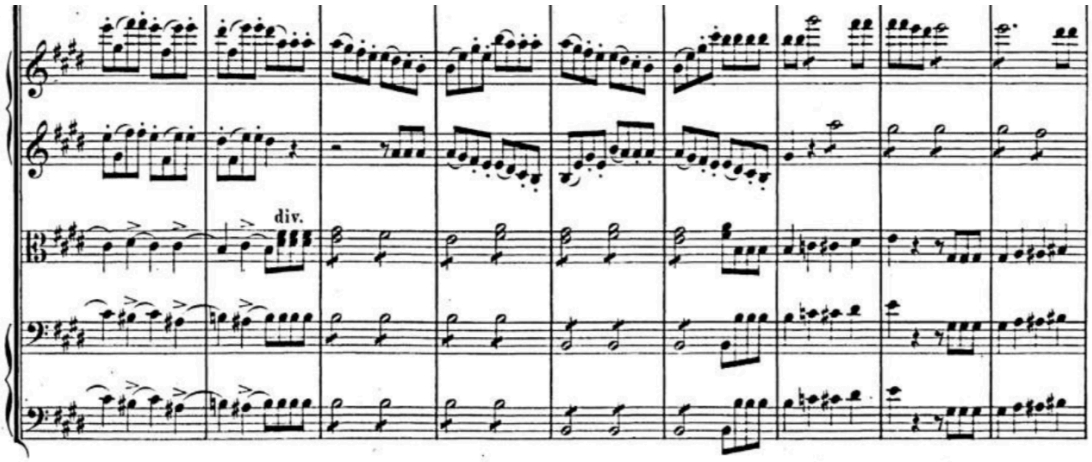
(1) *Introduction*	Main Theme	
	(2) Antecedent	
	(3) Basic idea	Contrasting idea



(1)			
(2)		Consequent	
(3)		Basic idea	Contrasting idea
(4)	V:PAC ⇒ HC		

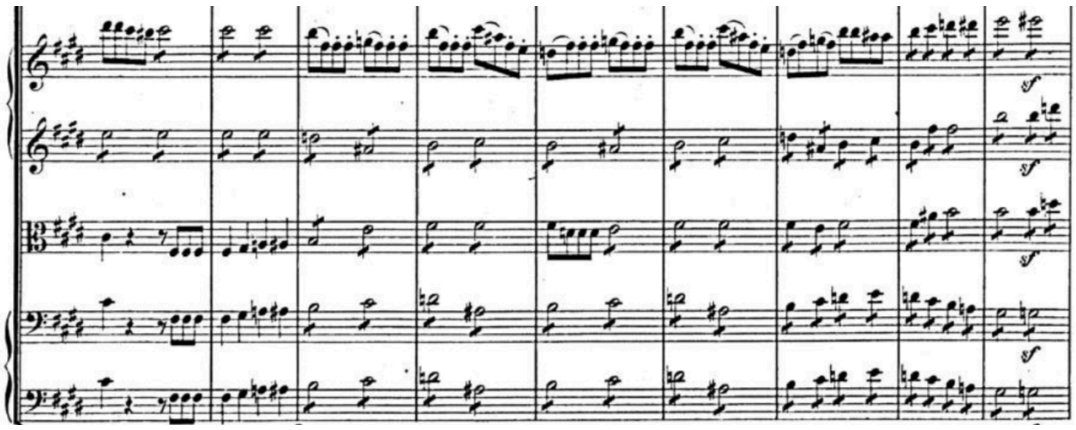


(1)				
(2)				
(3)		1st attempt	2nd attempt	3rd attempt



(1)	Transition
(2)	

(3) … dissolves ….



The situation is much the same in *Die Hochzeit des Camacho*'s recapitulation. The return of the main theme is pre-empted twelve measures before the recapitulation proper by a brief, fragmentary return of main-theme material in the violin II. The recapitulation itself sets-off at the upbeat to measure 199. The antecedent is returned, culminating on the half cadence on the downbeat of measure 206. The consequent's commencement is marred by canonical entries of the main melody through the violin I (measure 206), violin II (measure 209), and viola (measures 209-210) which disrupts the progress of the material, and causes a dissolution to transitional rhetoric earlier than in the exposition (mirroring the process in *Meeresstille und glückliche Fahrt*). The dissolution therefore takes place in the recapitulation's consequent, and aligns with *Closure Category 2.a*. The ensuing material starts to modulate just after the viola's entry, and the section is tonally mobile. At the upbeat to measure 239, the main theme is brought back, but is soon fragmented. It seems clear that this entry acts as a means of stabilising the transition material back in the tonic, for the drive to the medial caesura, at measure 251, and is not part of the theme itself.

The final piece in the overture case study is *Die schöne Melusine*, Op. 32, which also falls under *Closure Category 3*. Completed in 1833, programmatic elements are also a key part of this overture: the alternating major- and minor-mode sections are representative of the water nymph and her knight-husband.[186] Unlike the *Ouvertüre zum Sommernachtstraum,* however, familiarity with the source material is not necessary: *Die schöne Melusine* is not a direct setting of the Melusine storyline, but merely draws parallels from it.[187] Pierre-Alain Chevalier argues that the sonata-form tension between the major and minor modes mirrors the 'misalliance' of the story (Mendelssohn himself wrote to Schumann and

[186] R. Larry Todd, *Mendelssohn: The Hebrides and Other Overtures*, 52.
[187] Pierre-Alain Chevalier, *Sonata Deformations in Mendelssohn's Concert Overtures: A Narrative Analysis*, PhD Thesis, University of Houston, 2014: 70-72.

described it in such terms; misalliance referring to an unsuitable or unworkable marriage in this context).[188] Although Chevalier proceeds with a deformational argument, there is an interesting point to note here, as the struggle between F major and F minor overshadows much of the structure of the piece.

Die schöne Melusine begins with a substantial introduction in F major, typical of the romantic overture. This directly contravenes any classical proportions and adheres to the prevalent slow-introduction type expounded by Vande Moortele.[189] First, this introduction is functionally much more liberal. The introduction does not remain solely in a parageneric space, and its importance is borne out in the way it interacts with the sonata space. Second, given its excessive length, it not only has its own musical form, but it invites attention because of its magnitude. As such, this is arguably a slow introduction that becomes a thematic introduction, when the importance of the material is later realised. The main theme, beginning in measure 50 after a short 1½-measure anacrusis, resembles a loose sentence, now in the tonic minor. Initiated by a statement and response presentation (measures 50-57), the ensuing continuation (measures 57-63) features an embedded half cadence in measures 59-60 (subsumed within the larger function), and subsequently there is a cadence phrase in which the cadence is evaded at measures 66-67. The melody outlines a rising arpeggiated figured based on V and vii, but there is no strict bass motion. A tonic chord is located in the last two beats of measure 67, but there are two issues with this: first, this tonic chord is a point of initiation for the next syntactic grouping, and is therefore unlikely to form part of the preceding cadence, even in an elided manner; second, even if we allowed for the possibility of an elision, this tonic chord does not seem to have had any preceding harmonic support, as the harmony drops out in measures 66 and 67. Therefore, it is unlikely that this tonic chord provides for any cadential articulation.

The subsequent material might at first suggest that the piece is pursuing another attempted cadence, in the guise of an extension, but no cadence materialises, and the energy-gain initiated at measure 68 is retrospectively representative of the beginning of the transition, while the main theme ends without producing a cadence. The point at which the cadence is evaded and then abandoned in measures 66-67 forms another sharply ascending line, akin to the two previous examples, therefore adding weight to the argument that Mendelssohn often employs an ascending line as a means of functional change. Furthermore, the transition concludes on a tonic chord (F minor), but this is not manifestly cadential. Thus, given that the introduction is in F major, F minor is not cadentially supported thus far in the movement.

The main theme faces further failure later in the movement. The recapitulation omits the main-theme group in favour of the theme from the introduction. This not only elevates this material's structural importance (inviting the introduction theme into the sonata space), but the recapitulation of the

[188] Pierre-Alain Chevalier, *Sonata Deformations in Mendelssohn's Concert Overtures: A Narrative Analysis*, 71-72.
[189] Steven Vande Moortele, *The Romantic Overture and Musical Form from Rossini to Wagner*, 108-111.

introduction theme in F major casts considerable doubt on the tonal structure of the movement, and the importance of F minor (to say nothing of the dislocation between the thematic reprise at measure 260, and the tonal reprise/tonic at the end of measure 261). It is not until the recapitulation's closing section that main-theme material is retrieved. This recalls a practice similarly observed in *Athalie*. Returned in F minor, this at first seems to answer the question of whether F minor is structurally important (assuming that the piece might then close in this key). Had the closing section produced an F minor cadence, then this would endorse the argument; however, the closing section does not proceed in this way. The material again fails to produce a cadence, and ultimately the piece goes on to provide three F major PACs in the coda. Overall, the main-theme material (whether in the exposition main-theme zone, or in the recapitulation's closing section) fails to stabilise F minor, and with the piece featuring no F minor cadences, this presents a clear failure of the sonata form (considered further in "Part Four").

Conclusions

There are several theoretical and analytical points that the overtures have disclosed. The first is that, statistically, cadential practice in the main themes is more varied than the preceding case studies. In the context of the exposition, Mendelssohn provides a cadence in seven of the works, therefore suggesting that he is still largely in favour of articulating an exposition main theme with a cadence. Only five of these, however, utilise a tonic perfect authentic cadence, while a further two (*Die erste Walpurgisnacht* and *Ouvertüre zum Sommernachtstraum*) deploy an IAC and a non-tonic PAC respectively. For the remaining three overtures, the main theme loses its structural cadence because the main theme dissolves into the transition, either because the consequent ⇒ TR (*Meeresstille und glückliche Fahrt*) or the final cadence is evaded or abandoned (*Die Hochzeit des Camacho* and *Die schöne Melusine*).

In the exposition, there is a trend, comparable to that in the string quartets, where added or concluding syntactic units see a marked increase in rhetorical qualities. In *Die Heimkehr aus der Fremde*, the short 'one more time' device witnesses an increased momentum, and the large cadential unit of *Die erste Walpurgisnacht* exponentially drives the main theme forward towards its cadence. The properties that propel the material forward and add to a continuance of the main-theme zone are not limited to 'extra' or 'added' units. Two pieces feature a consequent phrase which considerably amplifies the rhetoric of the antecedent, *Die Hebriden* and *Meeresstille und glückliche Fahrt*. In the case of the former this does produce a cadence, but even where no structural cadence is present, as in *Meeresstille und glückliche Fahrt*, the consequent still begins a homogenisation of the main theme and transition by extracting the

qualities typical of transition sections and introducing them to the main-theme space, so that the energy gain and sense of forward momentum is achieved earlier.

As with all examples witnessed across Mendelssohn's oeuvre, significant exposition proliferation is met by recapitulatory truncation. Overall, all overtures which feature a recapitulation main theme experience truncation (recapitulation procedure 3 on the exposition-recapitulation comparative table, Table 2.2.3/9). This analysis is particularly crucial when we consider the effect on recapitulation main-theme cadences. One of the more striking aspects of the analysis of the main themes across both the expositions and recapitulations is the comparison of Closure Categories. As the preceding analysis has demonstrated, most of the recapitulations do not feature cadential closure, largely owing to syntactic truncation. Even where a cadence is identified, it is different to that of the exposition, with the elevation of internal expositional intrathematic cadences to structural cadences in the recapitulation, as demonstrated in Table 2.2.3/8:

Table 2.2.3/8: Comparison of Exposition and Recapitulation Main-Theme Closure Categories

Piece	**Exposition Closure Category**	**Recapitulation Closure Category**
Trompeten-Ouvertüre	1.a	1.a (Earlier syntax)
Die Heimkehr aus der Fremde	1.a	1.c (PAC ⇒ IAC)
Ruy Blas	1.a	2.c (Syntax dissolves; no cadence)
Die Hebriden	1.a	2.b (Syntax dissolves; no cadence)
Athalie	1.b	n/a (No MT in recap)
Die erste Walpurgisnacht	1.c	2.b (Syntax dissolves; no cadence)
Ouvertüre zum Sommernachtstraum	1.d	2.c (Syntax dissolves; no cadence)
Meeresstille und glückliche Fahrt	2.a	2.c (Earlier syntax dissolves)
Die Hochzeit des Camacho	3	2.a (Earlier syntax dissolves)
Die schöne Melusine	3	n/a (no MT in recap)

All five overtures comprising exposition PACs (*Category 1.a/Category 1.b*) are influenced and changed as a result of truncation: the *Trompeten-Ouvertüre* retains a main-theme cadence, but the cadence itself is different to the exposition, with the elevation of the antecedent's interior cadence to that of a structural cadence; *Die Heimkehr aus der Fremde* similarly contains a cadence of changed status: the internal consequent IAC (preceding the PAC) now acts as the final structural closure; *Athalie* is affected in part by truncation, but also by an overall non-congruence of thematic material as the recapitulation does not feature the main theme, except for in a partial return in the closing section; and the remaining two pieces, *Ruy Blas* and *Die Hebriden,* lose their structural cadences as a direct result of truncation. Apart from the elevated antecedent PAC in *Trompeten-Ouvertüre*, there are no main-theme PACs in Mendelssohn's overture recapitulations. The remaining two pieces in the case study which feature an expositional main-theme cadence (*Die erste Walpurgisnacht*'s IAC and *Ouvertüre zum Sommernachtstraum*'s non-tonic PAC) also lose their cadences in the recapitulation, meaning that there is a higher proportion of examples where the main theme is now merged with the transition (recapitulation procedure 4, Table 2.2.3/9). As such, the overtures evidence one of the central pillars of Mendelssohn's cadential practice: proliferation is an agent of structural cadential deferral in the exposition, while truncation is an agent of cadential deletion in the recapitulation.

There does, however, seem to be an alternative device in play in the overtures which also signals functional change. If a main-theme cadence typically represents a signifier of a structural boundary, and a subsequent change of function, then a secondary practice witnessed here is the application of a rapidly ascending (sometimes chromatic) melodic/harmonic line. The rapid ascent is often featured directly before an element of dissolving syntax, although it need not be confined to an association with functional transformation. This procedure is explicitly observed in Op. 44 No. 1/i and iv, *Die Hochzeit des Camacho*, *Meeresstille und glückliche Fahrt*, and *Die schöne Melusine*. There is also a brief allusion to it in *Ruy Blas* (the OMT features a rising line, although a subsequent PAC is achieved in this case). Given this recurrence, we must therefore begin to conclude that a rapidly ascending contour (which sometimes manifests as a chromatic line) is another of Mendelssohn's methods for executing functional change, in addition to the cadence.

There are a number of other shared compositional devices in the overtures. The first concerns multitempo introductions. The strongest contenders for this are *Meeresstille und glückliche Fahrt* and *Athalie*, where the onset of the faster tempo and the launch of the exposition space do not coincide. The main theme enters some time later, therefore producing both a slow and up-/in-tempo introduction. *Ruy Blas* operates similarly, albeit with several false-starts. The overall introduction section features several units of the slower *Lento* (three) and the faster *Allegro molto* (two) before the exposition proper gets underway.

Table 2.2.3/9: Exposition-Recapitulation Comparative Procedures

Procedure 1	**Development-recapitulation elision**	1. *Die Schöne Melusine*
Procedure 2	**Dissociation of thematic and harmonic reprise**	1. *Ruy Blas* 2. *Meeresstille und glückliche Fahrt* 3. *Die Schöne Melusine*
Procedure 3	**Truncation**	1. *Trompeten-Ouvertüre* 2. *Die Heimkehr aus der Fremde* 3. *Ruy Blas* 4. *Die Hebriden* 5. *Die erste Walpurgisnacht* 6. *Ouvertüre zum Sommernachtstraum* 7. *Meeresstille und glückliche Fahrt* 8. *Die Hochzeit des Camacho*
Procedure 4	**Main theme loses cadential function and ⇒TR/S**	1. *Ruy Blas* 2. *Die Hebriden* 3. *Die erste Walpurgisnacht* 4. *Ouvertüre zum Sommernachtstraum*
Procedure 5	**Reversed Recapitulation**	1. *Meeresstille und glückliche Fahrt*
Procedure 6	**No MT-zone in Recapitulation**	1. *Athalie* 2. *Die Schöne Melusine*

There are three examples where the recapitulation does not commence with the main theme. *Meeresstille und glückliche Fahrt* features a reversed recapitulation, where the subordinate theme launches the recapitulation space, prior to the return of the main theme (recapitulation procedure 5, Table 2.2.3/9). *Athalie* and *Die schöne Melusine* on the other hand are more extreme in their treatment of main-theme material (recapitulation procedure 6, Table 2.2.3/9). The reprise is launched by the subordinate theme in the case of the former, but the recapitulation section as a whole is primarily concerned with ST1, ST2, and the chorale from the introduction, and so other than a brief appearance of main-theme material in the closing section, there is no specific MT zone. *Die schöne Melusine*, meanwhile, places precedence on recapitulating the introduction theme (such that the introduction has now functionally 'become' the main theme). Moreover, the recapitulation begins over a $^{6}_{4}$ chord, thereby eliding development and recapitulation spaces. The main-theme material is similarly observed again in the closing section, but the latter stage of the overture spends much of its time grappling with the introduction and the F-major/F-minor conflict.

By comparison with the string quartets, there is no overt elision between development and recapitulation spaces in the overtures. A contributing factor to this may have been the tendency to exclude exposition repeats, which therefore merged the exposition and development action spaces. As Vande Moortele explores, the single-movement overture was largely defined by its non-repeated exposition, and

this became a central aspect of the overture's identity.[190] Counter to the classical style, which 'fences off the exposition from the development, turning it into a discrete formal unit', Romantic composers were more interested in exploring 'open-ended expositions', which often lacked closure before the development space began, or where closure was re-opened to 'smoothen the move into the development.'[191] If the exposition and development spaces were therefore merged with each other, the recapitulation is more partitioned. While there is only one example of recapitulation procedure 1 (development-recapitulation elision), in *Die schöne Melusine*, there are still three examples where the return of material in the recapitulation is undercut by a deferral of harmonic return (procedure 2): the recapitulation of *Die schöne Melusine* commences two measures before the harmonic reprise is reclaimed; in *Ruy Blas*, C minor is never fully recovered (a brief HC notwithstanding), and the search for a C minor PAC, or even a sustained non-cadential tonic chord, is pushed out into the subordinate theme reprise; and finally, *Meeresstille und glückliche Fahrt*'s recapitulation is reversed, commencing with the subordinate theme, but this S-reprise is not accompanied by a harmonic return of the tonic, as that occurs some time later, concurrent with the main-theme reprise.

[190] Steven Vande Moortele, *The Romantic Overture and Musical Form from Rossini to Wagner*, 191.
[191] Steven Vande Moortele, *The Romantic Overture and Musical Form from Rossini to Wagner*, 192.

2.2.4: Mendelssohn's Symphonies

By the end of the classical period, the symphony was perceived as a 'means of thought' in German speaking regions.[192] Owing to the political and social instability, enlightenment ideology saw the elevation of music as an imagined refuge, and with the increasing possibility of a German state, the symphony became a vehicle of a distinctly Germanic voice. This was fortified by the emergence of an educated listener, with a rise in bourgeois, aristocratic, and middle-class listeners who actively engaged with the repertoire, boosted the purchase of instruments, particularly the piano, for private, family salon concert use, sought the production of musical scores, especially short or miniature score editions, and overall began connecting with music intellectually. The symphony, particularly synonymous with Beethoven, was therefore a fertile ground in which to elucidate art's highest ideals.[193]

The trend for Mendelssohn's public genres (as opposed to the more private sphere of the string quartets and 'other chamber works') to feature weaker structural cadences or to lack a cadence altogether is continued and even more readily apparent in Mendelssohn's symphonies. This case-study analyses eight examples, the eight sonata-form movements from Mendelssohn's mature symphonies:[194] Symphony No. 5 (Reformation Symphony), first movement and finale (Op. 107, 1830); Symphony No. 4 (Italian Symphony), first and second movement (Op. 90, 1833); Symphony No. 2 (Lobgesang), opening movement (Op. 52, 1840); and Symphony No. 3 (Scottish Symphony), first movement, second movement, and finale (Op. 56, 1842).[195] The results of this analysis are most striking as they demonstrate that nearly all movements end with something other than *Closure Category 1.a*, the strong PAC closure (Table 2.2.4/1).

[192] Mark Evan Bonds, *Listening as Thought: Listening to the Symphony in the Age of Beethoven* (Princeton and Oxford: Princeton University Press, 2006), xiii.
[193] Mark Evan Bonds, *After Beethoven: Imperatives of Originality in the Symphony* (Cambridge, Massachusetts: Harvard University Press, 1996), 16.
[194] The finale of the Fourth Symphony has not been considered for the following reasons: although the movement opens with an exposition, thereafter the movement does not fit with any sonata form; the second half of the piece (the second rotation) does not resemble the first, and therefore does not appear to align with a recapitulation; the tonic resolution in section two occurs without the transition or the second subject (similar but distinct from Op. 3/ii which features a monothematic main and subordinate theme), and it is therefore difficult to engender a reading of either a type 1 or type 2 sonata.
[195] A case may be made for the inclusion of the Scottish Symphony's slow movement, but this movement is at best a very unorthodox type 1 sonata with a continuous exposition (perhaps some elements of TR⇒ST at most), no closing section (in the exposition, the EEC is elided with the introduction material, which forms the retransition), and a strange retransition (as before, based on the introduction, which shades back into the TR/possible ST material). Given this unconventionality, this movement has not been considered here.

Table 2.2.4/1: Symphonic Main-Theme Closure Results

Category 1		
	Type 1.a	Symphony No. 4/ii
	Type 1.b	Symphony No. 5/i
		Symphony No. 3/i
		Symphony No. 3/iv
Category 2		
	Type 2.a	Symphony No. 4/i *(or possibly Type 2.c)*
	Type 2.c	Symphony No. 3/ii
Category 4		
		Symphony No. 2/i
		Symphony No. 5/iv

Exposition Main Themes (and Recapitulation Comparative Analysis): Closure Category 1.a

In the eight movements analysed, there is only one example with a clear, harmonically distinguished and rhetorically reinforced, strong structural PAC: the second movement of the Italian Symphony (Table 2.2.4/2). The main theme is conceived in two parts, the first of which presents a large presentation (measures 1-19) and the second features a continuation and cadence (measures 20-35). The presentation features several internal layers of functions. The presentation divides equally into antecedent and consequent units, each of which are also periodic. The lower-level antecedents (measures 3-7 and 11-15) present a melodic idea *a*, while each lower-level consequent (measures 8-11 and 16-19) presents melodic idea *b*. Both lower-level consequents feature a PAC, meaning that the second lower-level PAC in measure 19 also functions as the cadence at the end of the eight-measure consequent (measures 11-19) and the overall presentation function (measures 1-19). Similarly, the eight-measure antecedent (measures 1-11) features a stronger closure (PAC) as a result of this multi-layered approach to syntax. The second section of the theme is presented as a continuation and cadence, beginning with a new melodic idea, *c*, and featuring some fragmentation of idea *b*. If the presentation features several internal cadences, then this trend is continued in the continuation. The section almost resembles a repeated compound basic idea (b.i. measures 20-23, c.i. measures 24-27, both of which are then repeated), but the presence of cadences is at odds with this. The main theme ultimately produces a D minor (tonic) PAC in measure 35. Therefore, in addition to this being the only symphonic sonata form to successfully articulate a final PAC, the movement

acts as an antithesis to the other symphonic sonata-form movements in which internal and structural cadential articulation is scarce.

The syntactic reading of the movement demonstrates that there is also an abundance of proliferative techniques. First, the main-theme group utilises *Expansion Type 2* as the main-theme group comprises a multi-part design, in the style of a binary form. Each section then produces a double period, thereby layering the syntax in the manner of *Expansion Type 1*. Finally, in terms of the cadential contour, each PAC very much follows the espoused cadential descent.

Table 2.2.4/2: Symphony No. 4/ii Main-Theme Syntax and Cadences

Syntax	Intro.	Main-theme group									
		Presentation						Continuation			
		Antecedent		Consequent							
		Ant.	Conseq.	Ant.	Conseq.						
Melodic idea		(*a*)	(*b*)	(*a*)	(*b*)	(*c*)	(*b*)	(*c*)	(*b*)		
Cadences		HC	PAC	HC	PAC	HC	PAC	HC	PAC		
M.	1	3	7	11	16	19	24	27	31	35	

The Italian Symphony's second movement does not feature a development, and there is some ambiguity as to the type of sonata, whether this is a type 1, with unstable recapitulation, or a type 2. At the end of the exposition, the subordinate theme's consequent phrase is extended by two attempts to cadence; after the second of these (in measure 55) there is only one measure of material before the introduction motif is reintroduced in measure 57. The re-emergence of the introduction is significant not only for its 'intrusion' on the sonata space, but also as it acts as a means of switching mode. The exposition subordinate theme takes place in the dominant major (A major); the introduction motif in measures 57-58 provides a mode switch, and the recapitulation persists in the minor dominant, meaning that the main theme returns in A minor (the tonic is not anchored until mid-way through the transition). Moreover, the thematic reprise occurs over an A minor first inversion chord on the downbeat of measure 59. As has been the trend, the main theme experiences significant truncation, with only four measures of material from the exposition returned. This material corresponds with the lower-level four-measure consequent from measures 7-11. The consequent's basic idea ends on V/V in the bass, while the contrasting idea ends with a dominant minor first-inversion chord, rather than with the tonic.

Thus, the main theme does not feature a structural cadence in the recapitulation as the cadence is evaded. Additionally, the harmony of measure 62 is problematised by the specific note used in the bass, C#, which supports the dominant major, A major, rather than A minor. There are therefore several harmonic issues presented by the recapitulation: first, the thematic reprise occurs in the dominant minor, rather than the tonic; second, the return takes place over a minor-dominant first-inversion chord; and,

three, in addition to much of the thematic content, the PAC is jettisoned in favour of an evaded cadence (the first-inversion tonic at best produces a deceptive cadence), and despite subsequent spinning-out of the cadential material, the main theme lacks closure and is therefore classified under *Closure Category 3*. This therefore evidences a type of failed recapitulation space.

Exposition Main Themes: Closure Category 1.b

The most prolific cadence types used in the symphonic expositions fall under *Closure Category 1.b*, where a PAC is present, but its articulation is comparatively weaker. Most commonly, the cadence is weakened by an elision between the theme and transition, where the tonic chord acts as both the tonic resolution for the theme, and an initiating tonic for the subsequent transitional section. Chronologically, this occurs first in the opening movement of the Reformation Symphony (Table 2.2.4/3). Following a parallel major-mode introduction (D major), the exposition begins with a loosely sentential D-minor main theme. The cadence phrase, beginning in measure 65, stalls on V/V in measure 73. The cadence is restarted in the strings and drives towards a presumed PAC at measure 79. The material goes no further than V, however; it seems clear that rather than this being a half cadence, the PAC is lost and abandoned. The cadence is initiated again in measure 80, now predominantly transferred to the woodwind. This final section does produce the PAC, particularly in the wind, but the strings use this tonic as a means of launching the transition. Therefore, the effect is undermined, and any sense of a strong closure is diluted by this elision. The multiple attempts to cadence prolong the sense of closure, but also further the proliferative agenda. The addition of syntactic segments in the theme's closing stages evidences *Extension Type 3*.

Table 2.2.4/3: Symphony No. 5/i Main-Theme Syntax and Cadences

Syntax	Intro.	Main-theme group					
		Presentation	Continuation	Cadence			
				1st attempt	2nd attempt	3rd attempt	
				...V/V	...V		
Cadences							i:PAC
Tonality	*D major*	*D minor*					
M.				65	73	79	86

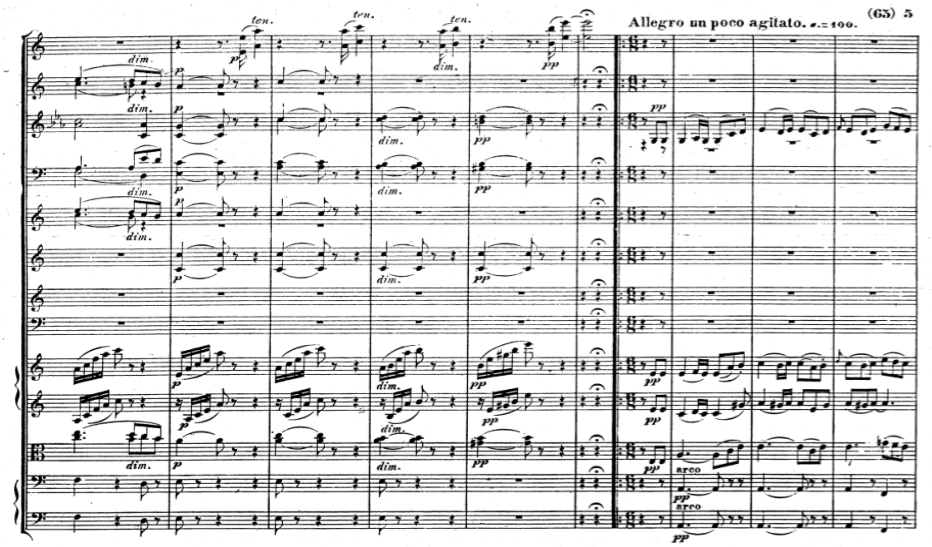
A similar cadential elision takes place in the opening movement of the Scottish Symphony (Example 2.2.4/1). The main theme comprises a grand-antecedent + grand-consequent design. The antecedent is sentential, with a statement + response presentation, a continuation, and an enlarged

cadence (*Extension Type 3*). The cadence begins over tonic harmony and leads to two separate instances of pausing over V, in measures 79 and 81, before finally pushing forward to a PAC on the downbeat of measure 85. This tonic resolution, in the strings, is itself an elision, as the consequent phrase commences one beat earlier above this in the wind section. The consequent phrase is orchestrally and texturally denser than the antecedent, and it also features some small truncation. Comparing the internal sentential units, only the presentation phrase is deployed (although the response phrase is significantly altered), with the internal continuation removed. The cadence phrase begins over i^6_3 and builds in intensity towards the transition section. Rhetorically speaking, the texture, and the crescendo, sforzando nature of the cadence clearly acts as another signal of the forthcoming functional change. This recalls the practices demonstrated in several other pieces across the genres, where ending or additional syntaxes provide acceleration. The cadence phrase in this example shifts to a brief standing on the dominant from measure 95, which compels a tonic resolution, and, the phrase not only builds in intensity, but the melodic contour follows a rising ascent, which boosts the melodic trajectory upwards as well. This cadential unit therefore acts as an intermediary between the theme's *Allegro un poco agitato* tempo, and the transition's *Assai animato*. The final tonic of the theme is, however, elided to the transition. Therefore, although the cadence is well marked rhetorically speaking, in a strict harmonic sense the strength of the cadence is mitigated by the merging of the two functions.

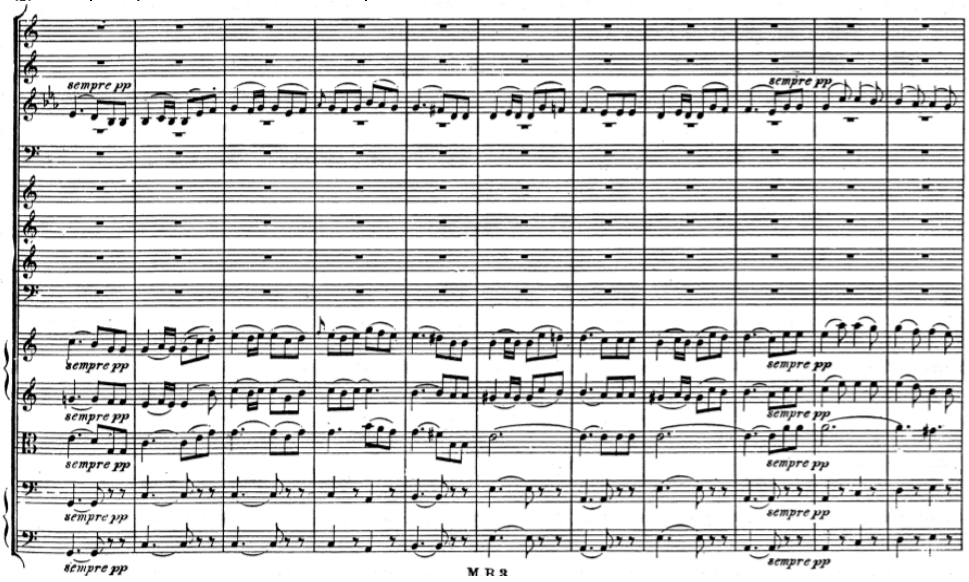
As the antecedent and consequent feature internal sentential features (*Expansion Type 1*), this produces a compound period. Unusually, the proliferative nature of the antecedent (specifically the cadence) is complemented by truncation in the consequent phrase's medial function (where we might have instead expected no truncation but even further proliferative qualities, particularly in the area surrounding the consequent's cadence). While this movement does produce an elided PAC, it also features significant rhetorical markers that signal functional change in the manner of the *Closure Category 4* variety. As such, the cadence phrase does not feature the typical descending contour, but instead, the rise in energy (orchestration, texture, and volume) is paralleled by a rise in the melody, and momentum factors which rhetorically homogenise and merge the end of the main theme with the transition.

Example 2.2.4/1: Symphony No. 3/i Main-Theme Syntax and Cadences

(1) Exposition
(2) Main Theme
(3) Antecedent
(4) Presentation
(5) Statement



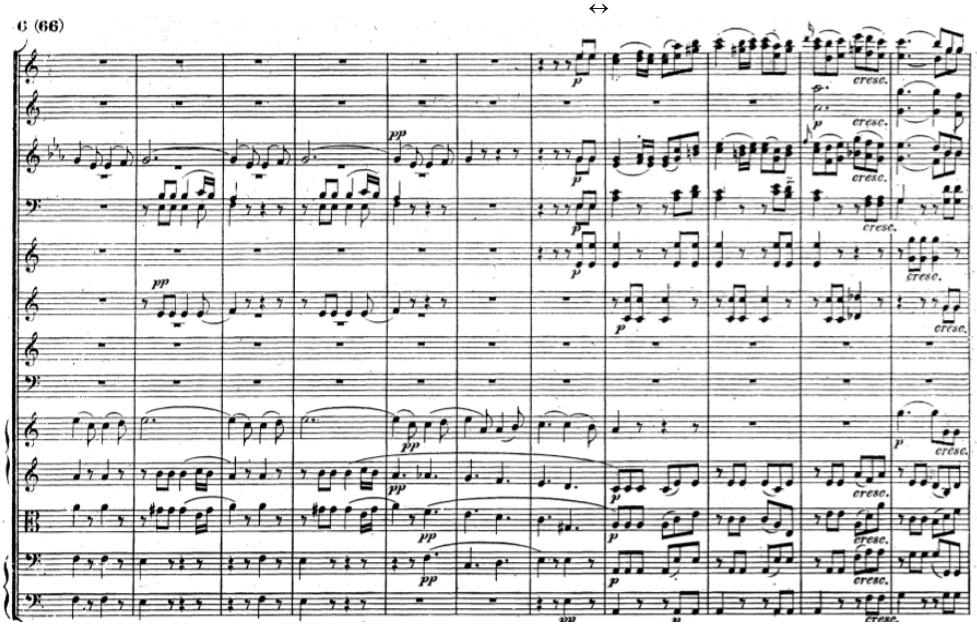
(1)
(2)
(3)
(4) Continuation Cadence
(5) Response



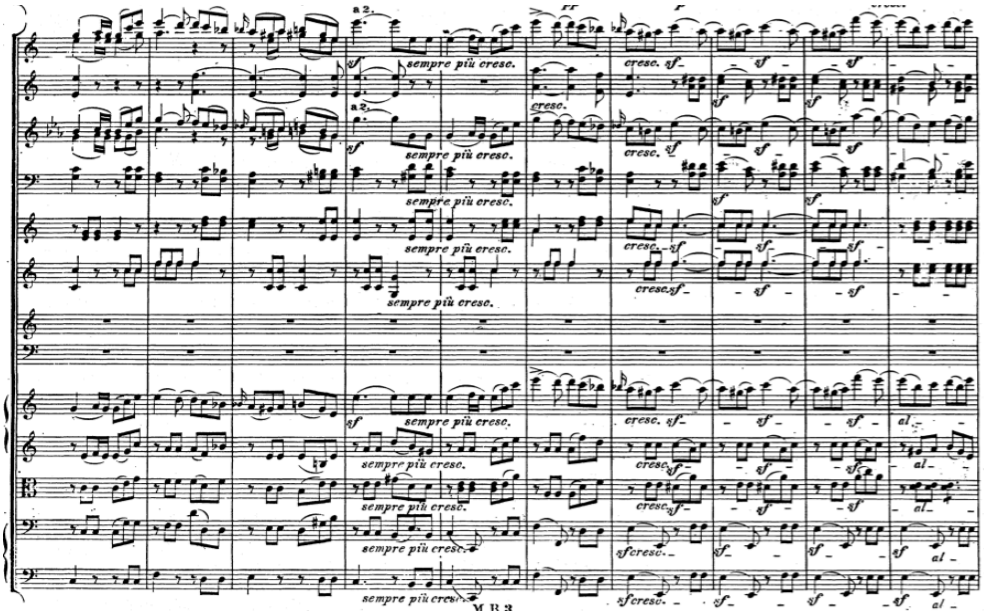
(1)		
(2)		
(3)	Consequent	
(4)	Presentation	
	(5) Statement	Response

V V PAC

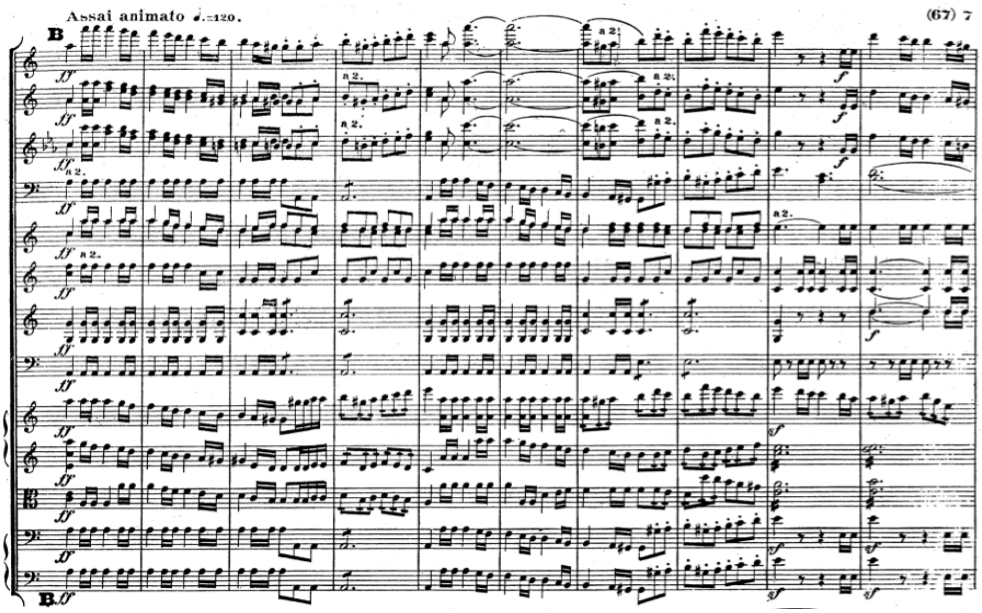
↔



(1)	
(2)	
(3)	
(4)	Cadence
(5)	



(1)
(2) | Transition
PAC
MT ↔ TR



An elided PAC is also produced in the finale of the Scottish Symphony (Table 2.2.4/4). As with the first movement, a harmonically clear, and rhetorically well-defined sense of closure is produced, but the tonic is shared between the theme and the transition. The finale is similarly proliferative to the first movement. A ternary-form main theme is identified following a short two-measure upbeat/introduction. The A section is a sentence, with a statement + response presentation, a continuation, and a very short PAC cadence. As with the theme's structural cadence, elision is also evident in the intrathematic functions. The short A-section cadence is elided to the contrasting middle, and in particular the E-A articulation in the melody line of the first violin is shared between the cadence syntax of the A section, and the initiating function of B. The contrasting middle, B, is periodic, with a four-measure antecedent and a four-measure consequent. This also produces an elided PAC. The conclusion of B's melody line in the violin is overwritten in the last two beats by the commencement of the A^1 melody line in the woodwind. The A^1 section is functionally more ambiguous. It retrieves the statement idea from the opening A section, and largely centres around a fragmentation of this. The woodwind's statement is followed by a short contrasting idea in the violin, followed by a second statement again in the woodwind. This seems to resemble a fragmentary basic idea + contrasting idea + basic idea formulation. The cadence phrase is initiated in measure 29 and is set over a bass V pedal, up to the point of tonic resolution in measure 37 (which slightly undermines the efficacy of the cadence). Similar to the first movement, this cadence phrase parallels the rise in energy, orchestration, and volume, with a rising melodic line (as opposed to any

expected descending contour), and is another example of concluding syntax providing continuity of motion between the theme and transition. Despite the proliferative nature of the material (with a ternary form representing *Expansion Type 2*), and the inclusion of a PAC at each intrathematic level, the movement nonetheless fails to produce a strong, functionally separate PAC owing to the numerous cadential elisions and bass pedal.

Table 2.2.4/4: Symphony No. 3/iv Main-Theme Syntax and Cadences

Syntax	Upbeat	Main-theme group																TR
		A						B						A^1				
		Pres.			Contin.		Cad.	Ant.			Conseq.			B.I.	C.I.	B.I.	Cad.	
		St.		Resp.				b.i.		c.i.	b.i.		c.i.					
Cadences							PAC			HC			PAC				PAC	
							↔						↔				↔	
M.	1	3		7	11		14	15			19		23	25	27	29	37	

Comparative Analysis: Exposition Category 1.b pieces and their Recapitulations

Having analysed the three *Category 1.b* main themes, it is important to consider the correlation or noncongruence of these examples to their recapitulations, as all three of the movements in the exposition *Category 1.b* feature significant truncation and alterations that change their categorisation, or the specific cadence under investigation. The first movement of the Reformation Symphony is converted to *Category 3*, as the main theme returns mostly intact, but the cadence is abandoned. The recapitulation is signalled in the movement by the reappearance of the Dresden Amen. This amen first appeared at the junction between the introduction and exposition, and features again between the development and recapitulation.[196] Unusually, the theme returns syntactically intact, for the most part, but the nature of the theme is very different, with a reduced tempo, diminished orchestration, and a stark texture and mood. As Taylor notes, the resolute exposition now sounds 'funereal.'[197] The biggest alteration takes place in the sentential cadence phrase. Whereas the exposition features two cadential attempts and one successful, albeit elided PAC, the cadence phrase is abandoned in the recapitulation shortly after it commences (in measure 406). The music, essentially, dies away, and this waning passage (between measures 406 and 416) also acts as the move to the subordinate theme (beginning in measure 417) in the absence of a true transition. In addition to employing recapitulation procedure 4 (merging of main theme with subsequent syntax), as the main theme returns with only minor variations, this is the first 'public' piece that does not

[196] Benedict Taylor, 'Beyond Good and Programmatic: Mendelssohn's 'Reformation' Symphony', 10.
[197] Benedict Taylor, 'Beyond Good and Programmatic: Mendelssohn's 'Reformation' Symphony', 10.

evidence procedure 3, truncation, in the main-theme zone in a large-scale fashion, although truncation is still evident in the exposition more broadly, given that the transition is removed.

The first movement of the Scottish Symphony does feature a recapitulation main-theme cadence, but there is no correspondence between the exposition's cadence and that in the recapitulation. Significant truncation (recapitulation procedure 3) removes much of the material from the main theme. Instead of the compound period design (sentential antecedent + mostly sentential consequent), only the antecedent phrase structure is returned at the upbeat to measure 336. The sentence is returned in full, with a presentation (measures 335-343), continuation (measures 343-347) and extended cadence (measures 347-357). As in the exposition, this cadence phrase ultimately produces a PAC after stalling on V in measures 351 and 353. In the exposition, however, this PAC is an internal cadence, given that a consequent phrase ensues. As the consequent has been removed from the recapitulation, the status of this cadence is elevated from a lower-level, internal, intrathematic cadence to a structural cadence at the interthematic level.

Complicating the situation of this cadence is the nature of the subordinate theme. In addition to the removal of the consequent syntax, the transition section is also deleted. The entry of the subordinate theme does not take place after the PAC; instead, the main theme is concluded in the strings and is dovetailed by the start of the subordinate theme in the woodwind in measure 354. Therefore, the subordinate theme is heard above the main theme, and commences some three measures before the main theme can achieve its closure (thereby producing an overlap of main and subordinate themes, merging the action spaces: recapitulation procedure 4). The subordinate theme at this point sounds relatively fragmented, particularly in comparison with the main theme, but nonetheless its presence does undermine the structural importance of the PAC in measure 357. Therefore, we might again classify this as a *Category 1.b*, albeit with a different cadence to that of the exposition.

The finale of the Scottish Symphony, meanwhile, does feature a change in category, from *1.b* to *2.a*. The recapitulation enters at the upbeat to measure 246, with the A material. This syntax is returned largely in full, with an eight-measure presentation (four-measure statement, 246-249, and four-measure response, 250-253), and a continuation (measures 254-257). The expected PAC at the end of measure 257 (to correspond with measure 14) is not realised. In the exposition, the cadence materialises as an elision between the A and B/contrasting middle material in the violins; however, the A's cadential material is transferred to the upper woodwind in the recapitulation, in measures 256-7, and at best only achieves a half closure. The B material enters in the strings on this dominant chord, so if a HC is applied here, there is another elision between A and B, but this time divided orchestrally between woodwind and strings, rather than solely taking place in the latter. The periodic B material follows, beginning in measure 258 with the antecedent, which culminates on a half cadence. The consequent, commencing in measure 262

does not lead to a cadence four measures later as in the exposition. Instead, the cadence is abandoned, and the material is extended. The extension, however, does not act as a means of prolonging the cadential goal; instead, the extension dissolves and liquidates the material across measures 266 to 270, and the liquidation then functions as a vehicle for moving from the main theme to the subordinate theme in the absence of the A^1 or transition material. Thus, not only has the truncation removed the third section of the main theme (and therefore undone the ternary form design), but also the transition. The dissolution of the consequent through this extension means that the main-theme zone loses its structural cadence in the recapitulation, and is therefore classified as *Category 2.a*.

Exposition Main Themes (and Recapitulation Comparative Analysis): Closure Category 2.a

The next category relevant to the expositional main themes in the symphonic genre is *Category 2.a*, where the final segment of syntax, specifically a consequent phrase, dissolves to transition and does not produce a cadence. The example of *Category 2.a* is located in the first movement of the Italian Symphony (Table 2.2.4/5 and Table 2.2.4/6), although there is also the possibility that the movement could be considered under *Category 2.c*. This movement is an excellent example of *Expansion Type 1*, as there is substantial enlargement of the periodic and sentential types, which therefore presents the two competing analysis readings.

The first reading provides for a grand compound basic idea + dissolving consequent. Following an initial opening A major block chord, the main theme commences on the upbeat to measure 3 with a large forty-eight measure section which initially aligns with a grand antecedent, but is reframed as a grand compound basic idea because it does not end cadentially. The grand basic idea is itself sentential, comprising large presentation (measures 3-23), continuation (measures 23-41), and cadence (measures 41-51) phrases, but the layering of syntax goes further, and the presentation also contains hybrid features. The presentation opens with two basic ideas, each of four measures duration. As the two ideas are contrasting in nature, they do not conform to the typical statement + response configuration, and instead also closely resemble a compound basic idea. Following this, the presentation phrase features a lower-level continuation (measures 11-18) and a lower-level cadence beginning on I in measure 19 and producing a PAC on the downbeat of measure 23. This is another example of a presentation with a PAC, as the result of more complex, proliferative internal structures (CBI + continuation + cadence). The higher-level continuation, beginning in measure 23, is also more densely proliferative. The model-sequence device commonly associated with continuations is present, with several fragmentations of the model. The continuation ends in the violin I and woodwind in measure 41, but this overlaps with the start of the

cadence phrase in the same measure, which commences in the lower strings, and centres on movement from ii^{7} to V. This cadence phrase resembles the contour of *Category 4*, and the typical momentum gathering concluding strategies, with crescendo markings, an increase in orchestration, and an intensification of energy. This cadence phrase, as is typical in *Category 4*, does not produce a cadence, and instead, these rhetorical markers act as a means of signalling functional change. Ultimately, this example of *Category 4* is internal, rather than structural, which provides the reconsideration of grand antecedent as grand compound basic idea. The second section of material thereafter retrieves the opening material in the form of a grand consequent, but the consequent is short-lived. Within the space of eight measures, the material begins to dissolve as a result of functional transformation. In this analytical reading, the only successfully articulated cadence in the main-theme group is the internal PAC at the end of the presentation phrase in measure 23. The first section's concluding cadence phrase is unsuccessful at demarcating its structural boundary, and so too is the consequent phrase, as the theme dissolves and the material is melded to the subsequent transition.

Table 2.2.4/5: Symphony No. 4/i Main-Theme Syntax and Cadences (Analysis 1)

Syntax	Up -beat	Main-theme group													⇒	TR
		Grand Compound Basic Idea													Consequent	
		Presentation							Continuation					Cadence (phrase)	b.i.	b.i.
		CBI		Contin.				Cad.	Model	Frag.	Frag.	Frag.	Frag.			
		b.i.	b.i.	Frag.	Frag.	Frag.	Frag.									
Cadences								PAC						*(no cadence)*		
M.	1	3		10				18	23					41	51	

The second analytical reading proposes a small ternary form design, as seen in Opp. 49 and 66. The grand compound basic idea's presentation phrase (measures 1-23) instead forms an A section, and the original continuation and cadence material (measures 23-51) now form a contrasting middle. Thus, the grand consequent is now represented as an A^{1} section, reprising the earlier A material. Under this interpretation, the processes of 'becoming' act on the third section of a ternary form, thereby classifying Symphony No. 4/i as *Category 1.c.*

Table 2.2.4/6: Symphony No. 4/i Main-Theme Syntax and Cadences (Analysis 2)

Syntax	Up -beat	Main-theme group				⇒	TR
		A			B/Contrasting Middle	A^1	
		C.B.I	Contin.	Cad.		... dissolving	
Cadences				PAC	*(no cad.)*		
M.	1	3	10	18 23	41	51	

Regardless of the intrathematic reading, the grand consequent/A^1 material correlates with the intensified rhetoric witnessed in the concluding units of other movements, such as Symphony No. 3/i. Therefore, the main theme deploys two instances of intensification: first, the unsuccessful cadence unit between measures 41 and 51 contains increased rhythmic activity, volume, and a denser orchestration; and, the grand consequent/A^1 continues this momentum forward, in this case propelling the music directly into the transition and side-stepping the structural boundary.

A comparison of the exposition against the recapitulation demonstrates that functional transformation also acts on the return of the main-theme material, albeit in a different manner. The recapitulation features a shortened main theme, corresponding with the material from measures 3-23: the opening presentation phrase. The recapitulation is first elided with the end of the development. Towards the end of the development's retransition, there are three fragments based on the main theme's head motive (the major third, which in the exposition is A-C#-A). This occurs first in the oboe, outlining D-F#-D, second in the clarinet outlining F#-A-F#, and finally in the horn which returns us to A-C#-A. During this, the upper strings play a series of rising thirds, while the bass rises chromatically. The main-theme reprise emerges out of this in measure 369, but there is no support in the bass strings. The cello stands on V, and only the bassoon provides a bass tonic. The horn has the lowest note at this point (and therefore acts as the bass), meaning that the recapitulation commences over a $^6_4$. Arguably, this tonic reprise is obscure at best. The first clearer bass tonic is the last chord of the second basic idea, on the downbeat of measure 376. Therefore, there is a misalignment of the thematic and tonal reprises.

In terms of syntax, the presentation phrase returns, with the internal compound basic idea and continuation both present, but there is some alteration to the cadence phrase. Beginning in measure 383, the melody of the cadence proceeds similarly, but at measure 387, rather than root-position tonic harmony, the music is set over chord vi in the bass, thereby producing a deceptive cadence. The material then spins this out, and the cadence is relaunched in measure 391, such that measures 391 and 392 correspond to measures 383 and 384. Thereafter, however, the material begins to deviate, and any sense of a cadence is lost. Rather than the cadence being abandoned, this material transforms into a short transition to the subordinate theme, which enters in measure 405. Thus, the recapitulation also features

functional transformation, with the cadence phrase 'becoming' a short transition. This movement therefore still falls under *Category 2*, albeit subtype *c*, as there is no specific consequent or continuation that dissolves.

Exposition Main Themes (and Recapitulation Comparative Analysis): Closure Category 2.c

The exposition of the Scottish Symphony's second movement (Table 2.2.4/7) falls under *Category 2.c*, and is syntactically interesting, as the main-theme group seems to become more fragmented as the movement progresses. The main theme enters at the upbeat to measure 9 following a short introduction. The melody is heard in the clarinet, but the underlying accompaniment (violin I and II) enters in inversion (with C and A respectively). A bass F accompaniment is not presented until measure 10, with the introduction of the viola. The theme presents a hybrid (measures 9-16) comprised of a compound basic idea and a consequent, which is repeated in measures 17-24, both of which culminate in a PAC in F major (measures 16 and 24 respectively). The ensuing material, beginning at the upbeat to measure 25, is clearly still thematic, and is not representative of a transition. With the return of the main theme's A hybrid (without repeat) in measure 33, over a PAC, the intervening material is then regarded as a contrasting middle (where the B section's PAC and the entrance of A^1 are overlapped/elided). As A^1 begins over the PAC, the entrance of A^1, unlike the initial A section, does receive tonic support on its downbeat. The main-theme group thus begins to take the shape of another ternary form. However, the main-theme zone now begins to fragment. The A^1 section corresponds only to A's first hybrid, and the repeat is jettisoned. While the possibility of a ternary form is presented by the return of A, this is soon problematised by the re-emergence of the so-called B section between measures 41 and 48. A is reintroduced again in measure 49, now transplanted into the strings. Like A^1, this section also only retrieves the first hybrid, but in this case is further destabilised by the failure of the internal consequent to produce a cadence, and the main-theme group ultimately dissolves to transition. Overall, the theme is highly proliferative, from the opening repeated hybrid (*Expansion Type 1*) to the addition of multiple A and B sections (*Expansion Type 2*).

The main-theme group in this movement is particularly striking because it is progressively loosened by several factors: the tight-knit repeated hybrid is structurally demoted to an intrathematic function by the persistence of the main-theme zone; B is structurally more fragmentary, representing only a statement and response, rather than any fuller form of syntax; the B section's cadence (at the end of the response phrase) is elided to the start of the first A return; A^1 retrieves only the first hybrid, thereby truncating the opening A section; B^1 also features an elided PAC; and A^2 does not produce the PAC in the way that the previous A sections have, and instead the material capitulates to transitional rhetoric. While

the main theme does not produce a final structural cadence, it does nonetheless feature several internal PACs. Most notable of these is the PAC in measure 24, as this cadence could have been structural but for the continuation of main-theme material. Moreover, the final A section, A^2, is similar to concluding functions in other movements in which rhetorical continuity between the end of the theme and the start of the transition exists, as A^2's rhythmic values, orchestration, and sound volume increases.

Table 2.2.4/7: Symphony No. 3/ii Main-Theme Syntax and Cadences

Syntax	Intro -duction	Main-theme group																	
		A						B				A^1				B^1			
		Hybrid			Repetition			St.		Resp.		CBI		Conseq.		St.		Resp.	
		CBI		Conseq.	CBI		Conseq.												
Cadences				PAC			PAC			PAC				PAC				PAC	
										↔								↔	
M.	1	9		13	17		21	25		29	33			37	41			45	49

A^2		
CBI		Conseq. ⇒
		53

The recapitulation analysis of Symphony No. 3/ii is particularly striking as this is one of the mostly heavily truncated sonata-form symphonic movements. The recapitulation is pre-empted in measures 176-179 by a four-measure off-tonic (E-flat major) recall of the opening melodic idea (corresponding roughly to the antecedent in measures 9-13). The recapitulation proper enters in F major (the tonic) at the upbeat to measure 183, but F is not secured in the bass. Much of the main-theme zone is removed. The recapitulation corresponds only to the material from the third A section, A^2's, consequent phrase (the preceding compound basic idea is removed). As with the exposition, this material dissolves after only four measures, and only four more measures of material exist, spinning out the end of the preceding unit, before the subordinate theme enters at measure 192. This short main-theme section never manages to secure a bass F, and is instead set entirely over a dominant pedal. F enters only with the subordinate theme at measure 192. This is another example of *Category 2.c*, where functional transformation dissolves and diverts the material to a short quasi-transition, albeit in a different manner to the type of liquidation witnessed in the exposition. Indeed, recalling the highly proliferative nature of the exposition's main theme, and the abundance of intrathematic cadences, this is met by the antithesis in the recapitulation, with relatively little of the expositional main theme or transitional material retrieved, and the internal and structural cadences deleted.

Exposition Main Themes (and Recapitulation Comparative Analysis): Closure Category 4

The final two movements in this case study are the finale of the Reformation Symphony (Table 2.2.4/8) and the first movement of the Second Symphony. Thus far in the individual genre case studies, there has only been one exposition example (Op. 20/iii) that follows the type of main-theme closure presented in these movements: *Closure Category 4*, in which a sense of rhetorical closure is produced, therefore meaning that the material does not dissolve to transition, but the change of function is not supported by a true cadential gesture. There is a correlation between *Category 4* and the momentum-gathering concluding syntaxes witnessed in several other movements, but for the fact that in those other cases either a cadence is subsequently produced, or functional transformation enters the equation. In these movements, neither of those situations arise, and only the rhetorical closure occurs.

Symphony No. 5/iv begins with an extensive multi-part, multitempo introduction. The initial section, an off-tonic slow introduction (in G major) is based on the 'Ein' feste Burg ist unser Gott' chorale, while the second part, based in *allegro vivace*, provides the in-tempo segment of the introduction. The main theme begins in measure 63 and is divided into two large segments: measures 63-79 and 79-92. The opening section seems loosely periodic, with an eight-measure antecedent and eight-measure consequent. The antecedent is constructed as a quasi-ECP, leading to V in measure 70, differing vastly from form-functionality which dictates that a function cannot begin with a cadence, and must first have some initiating and medial functions. The consequent also culminates on V, on the downbeat of measure 79, but this is not cadential, and is therefore left open-ended. The ensuing section is much more fragmentary and continuational in nature, thereby reframing section one as a periodic presentation, with section two a continuation (this is therefore a small example of *Expansion Type 1*, and clarifies the lack of cadences in the so-called 'antecedent' and 'consequent' functions). The cadence phrase is initiated at the upbeat to measure 86 in the strings but becomes overwritten two measures later by the activity in the woodwind. The cadence is repeated, beginning in measure 89, but, despite a sense of closure, the end of the theme (measure 92) is not cadentially supported: first, the bass line features a rising D major scale, and while it does culminate on the pitch of D, this is not approached by V or any substitute; and, second, the melody, predominantly in the violin I, ends on A/$\hat{5}$. Thus, the main theme ends very weakly. The predominant indication that the main theme has finished comes in the nature of the ensuing material. This section is functionally separate from the preceding material, and also features several 'transitional' qualities: *forte*, *marcato*, and changes in texture and rhetoric. Additionally, the imitative nature of the ensuing material might act as another audible indicator of transition, given that it is rhetorically distinct to the preceding section, and that there are other examples of canonically/imitatively treated transitions (*Die Hochzeit des Camacho*, for example, features a somewhat similar canonical audible trigger, but the imitative entries

here also act as a means of destabilising the consequent and diverting the material to the transition). Thus, the two sections of main theme and transition appear functionally and formally different from each other, but we must rely on the rhetorical distinctions between each, rather than a cadential function to theoretically separate the two. One of the major issues with the main-theme zone is its position between the more established introduction and subordinate-theme zones, which in many ways overshadow it. Thus, as Taylor notes,

> it could well be argued that this is not in fact a first subject at all … The passage here is needed for its function, forming a basic, tonally defining section at the start of the D major main movement as a counterweight to the off-tonic introduction and functioning as a precedent to the more strongly characterised first group's second theme.[198]

Table 2.2.4/8: Symphony No. 5/iv Main-Theme Syntax and Cadences

Syntax	Introduction		Exposition					
	Slow intro.	In-tempo intro.	Main-theme group					
			Presentation		Continuation	Cadence?		
			'Antecedent'	'Consequent'		1st attempt	2nd attempt	
Cadences								… no cadence
M.	1	25	63	71	80	86	89	92

When the material returns in the recapitulation, the opening presentation syntax is removed, and the recapitulation launches with the continuation, thereby providing a shortened main theme. In addition to the removal of the presentation, the cadential attempts have also been removed, and the material produces a stronger IAC candidate. The bass motion oscillates around V more clearly in the penultimate measure, rather than the rising D major scale. A brief culmination on D follows in the bass, with the soprano rising to F#/$\hat{3}$. Therefore, despite the truncatory nature of the recapitulation, this recapitulation unexpectedly provides, rather than eliminates, a stronger sense of cadential closure, albeit at best this instantiates *Closure Category 1.c.*

An implied IAC event is established in the expositional main theme of the opening movement of the *Lobgesang* symphony (Table 2.2.4/9), but as the final motion V^6_5-I (producing step-wise motion in the bass), this is not cadential. The movement opens with a slow introduction (*Maestoso con moto*), which leads to the allegro exposition at measure 22. Following a one-measure upbeat, the main theme is constructed as a compound period. The initial phrase, a grand antecedent, (measures 23-44) comprises a

[198] Benedict Taylor, 'Beyond Good and Programmatic: Mendelssohn's Reformation Symphony', 12.

hybrid, an antecedent + cadence, with the antecedent itself a sentence: a four-measure presentation, four-measure continuation, and a four-measure cadence, leading to a HC. This therefore produces a multi-layered syntax associated with *Expansion Type 1*. The grand antecedent's internal cadence phrase is initiated at measure 34 and produces a PAC on the downbeat of measure 44. The start of this phrase is elided with the previous HC and begins over a standing on the dominant (measures 34-38). The cadence is built out of the foregoing antecedent's head motive, principally the first two measures: measures 23-24. There are four melodic fragments based on this motive, in particular the dotted quaver pattern which outlines V melodically in the violin I in measures 34, 36, and 38. The fourth fragmented triad occurs in measure 40, and the melody and bass are based on chord ii. The dotted motivic rhythm is then transferred to the bass in measure 41, and V is spun-out from here up to measure 44 where an emphatic PAC takes place. This represents the cadence of the grand-antecedent phrase. The subsequent material retrieves the opening syntax, thus producing a consequent from measure 44 onwards. The consequent, however, retrieves only a modified version of the internal sentential antecedent (corresponding to measures 23-33). The continuation is slightly altered, but the biggest modification takes place in the continuation's cadence (as distinct from the higher-level cadence), where the material is furnished with an attempted IAC, which is not strictly cadential given that the final dominant in measure 54 is in first-inversion. The material following this sentence is clearly transitional, with the result that this event marks the theme's conclusion. This therefore means that the higher-level cadence (which produced the hybrid in the grand antecedent) is deleted, and the main theme ends with this weaker attempted cadential motion despite having produced a PAC at the end of the antecedent.

Table 2.2.4/9: Symphony No. 2/i Main-Theme Syntax and Cadences

Syntax	Intro.	Exposition											
		Upbeat	Main-theme group										
			Grand antecedent						Grand consequent				
			Antecedent				Cadence		Pres.		Contin.	Cad.	
			Pres.		Contin.	Cad.			St.	Resp.			
			St.	Resp.									
Cadences						HC		PAC					IAC?
M.	1	22	23	25	27	31	34	44	46	48	52	55	

Comparing the expositional syntax against the recapitulation evidences more truncation. The main theme retrieves only the sentential antecedent phrase, corresponding to measures 23-34 in the exposition, at measure 260. Following eight measures of presentation and continuation (measures 260-263 and 264-267), the cadence phrase is initiated (measure 268), but two measures later it deviates, and features two measures of new material (measures 270-271). Thereafter, the cadence material returns, but

this only lasts for one measure (measure 272) before the cadence is abandoned. The subordinate theme enters immediately (measure 273), with the result that the main theme does not feature a cadence in the recapitulation, as the cadence does not materialise (similarly TR and the MC are also deleted from the recapitulation). This, therefore, means that the recapitulation evidences *Closure Category 3* (an abandoned/evaded cadence).

Conclusions

There are several key factors that the analysis of the symphonies provides. First, if it is taken together with the analysis of the overtures, there is a clear trend emerging, which is that, in his public works, Mendelssohn has a tendency to use weaker cadences, or indeed, to omit cadential articulation at the conclusion of his main themes. Four of the ten overtures and only one of the symphonic movements feature a strong exposition main-theme PAC. In the symphonies, the weaker PAC is the most prevalent option, deployed in three expositions, and the nature of this 'weakness' comes from the elision of the tonic chord with the opening of the transition.

Again, proliferation acts as a major factor in the processes of cadential deferral, postponement, and abandonment. The public genres in particular evidence greater, more expansive syntax, with a higher prevalence of multi-part themes, and enlarged grand antecedents and grand consequents. There is a clear correlation across the genres between proliferative main themes and cadential deferment/abandonment. Even within the string quartets, some of the largest main-theme forms are found in the Op. 44 quartets, and it is noteworthy that two of the most amplified main themes (Op. 44 No. 1/i and iv, both of which feature small ternary forms) should represent two of the four expositions that lack closure in that genre.

Table 2.2.4/10: Comparison of Exposition and Recapitulation Main-Theme Closure Categories

Piece	Exposition Category	Recapitulation Category
Symphony No. 4/ii	1.a	3
Symphony No. 5/i	1.b	3
Symphony No. 3/i	1.b	1.b
Symphony No. 3/iv	1.b	2.a
Symphony No. 4/i	2.a/2.c	2.c
Symphony No. 3/ii	2.c	2.c
Symphony No. 5/iv	4	1.c
Symphony No. 2/i	4	3

Comparison of the symphonic closure categories between the exposition and recapitulation (Table 2.2.4/10) is even more striking. There are no works which feature a well-articulated, strong PAC (*1.a*), and only one work which evidences a weaker PAC (*1.b*): the first movement of Symphony No. 3. In this example, the sole antecedent phrase does present a PAC, but by overlapping this with the entry of the subordinate theme, the main theme's closure is significantly weakened. The only other recapitulation main theme that provides a sense of closure is the finale of Symphony No. 5.[199] While the main theme in general acts more appropriately as a tonic confirmation than a true first subject (particularly in the exposition where it is couched between the off-tonic introduction and the more developed subordinate theme), it is still possible to speak of some recapitulatory material, albeit heavily truncated. In particular the periodic presentation phrase is deleted, meaning that the theme opens with the segment corresponding with the exposition's continuation phrase. The theme concludes in measures 206-207, and provides marginally more dominant-tonic motion in the concluding two measures by comparison with the exposition (which features a D major scale). The harmony presents a greater sense of cadential closure than the exposition's purely rhetorical close, and therefore it may be possible to stretch to a form of authentic cadence reading, albeit this is an IAC, rather than a PAC, because of $\hat{3}$ in the violin I.

The remaining works all feature functional transformation and/or evasion of the cadence. A large contributing factor to cadential evasion and abandonment is again truncation, which operates in several movements. The removal of large intrathematic segments frequently derails cadential closure, in favour of shortening the space between the onset of the recapitulation and the reprise of the subordinate theme and closing section. As a result of this, there are three main themes that are functionally separate in the exposition (as the result of a cadence) but are now merged with the ensuing transition or subordinate theme (recapitulation procedure 4) by the removal of the structural cadence: Symphony No. 5/i, Symphony No. 4/ii, and Symphony No. 3/iv. The prevalence of truncation (present in seven of the eight recapitulation main themes), and the merging of the main theme with the subsequent functional space are evidenced in Table 2.2.4/11.

[199] For more on this movement see Benedict Taylor, 'Beyond Good and Programmatic: Mendelssohn's Reformation Symphony'.

Table 2.2.4/11: Exposition-Recapitulation Comparative Procedures 1, 2, 3, 4[200]

Procedure 1	**Development-recapitulation elision**	1. Symphony No. 4/i 2. Symphony No. 4/ii
Procedure 2	**Dissociation of thematic and harmonic reprise**	1. Symphony No. 4/i 2. Symphony No. 4/ii 3. Symphony No. 3/ii
Procedure 3	**Truncation**	1. Symphony No. 5/iv 2. Symphony No. 4/i 3. Symphony No. 4/ii 4. Symphony No. 2/i 5. Symphony No. 3/i 6. Symphony No. 3/ii 7. Symphony No. 3/iv
Procedure 4	**Main theme loses cadential function and ⇒TR/S**	1. Symphony No. 5/i 2. Symphony No. 4/ii 3. Symphony No. 3/iv

There are two examples in the symphonies where the development and recapitulation spaces are elided (Symphony No. 4/i and ii), and a dissociation between the thematic and harmonic reprises is evidenced in three symphonic examples: Symphony No. 4/i, Symphony No. 4/ii, and Symphony No. 3/ii. While the first of these has some support through a first inversion chord, and the second must wait approximately eight measures for the tonic reprise, the most extreme case is the second movement of the Scottish Symphony, in which the main-theme reprise is set entirely over a dominant pedal. The harmonic reprise of the tonic is delayed until the start of the subordinate theme section.

All three sonata-form movements of the Scottish Symphony and the first movement of the Italian Symphony feature concluding or final intrathematic units that provide forward momentum, through the typical rhetorical amplifications described in the equivalent examples in the preceding case studies, such as: the *Die erste Walpurgisnacht* overture, where the final cadential unit features an exponential increase of momentum; the *Meeresstille und glückliche Fahrt* main theme, which features an intensified consequent phrase; or the comparable examples of heightened acceleration in the closing units of Opp. 13/iv, 44 No. 2/i, 44 No. 3/i, and 80/i (among others). The first movement of the Scottish and Italian Symphonies both feature a 'grander' or intensified consequent-phrase rhetoric, similar to *Meeresstille und glückliche Fahrt*, where an amplified consequent follows a grand antecedent, and further promotes the rhetorical continuity between the end of the theme and the start of the transition.

The final associated point concerning the build-up of momentum is the use of a rising/ascending line. The finale of Symphony No. 5 uses a comparatively brief example of this, where the bass features a

[200] Procedures 5 and 6 not relevant for the present study.

rising scale (D-D) in place of cadential closure. The first movement of the Italian Symphony not only features the intensified consequent, but the material directly preceding this, the final measures of the grand compound basic idea, is based on a series of ascending lines. As with many other examples, such as *Meeresstille und glückliche Fahrt* and *Die Hochzeit des Camacho*, this ascending line occurs in place of a cadence, as the unit ultimately fails to produce a cadence before the onset of the consequent. The first movement of the Scottish Symphony does not feature one specific rising line (or a series therein), but the overall trajectory or contour does ascend in conjunction with the escalation of intensity. Finally, in the finale of the Scottish Symphony, the A^1 operates similarly, where there is no specific step-wise or chromatic ascent, but the final cadential section does include both upwards momentum and upwards movement.

Part Three: Subordinate Themes

3.1: Introduction

> Almost every movement of a classical instrumental work establishes a subsidiary tonal area … One outstanding feature of the classical style … is the articulation, indeed, the dramatization, of this subordinate key through a distinct *subordinate theme* … this theme is an integral unit of form containing a syntactical succession of formal functions and a concluding authentic cadence.[201]

Caplin's opening remarks on the subordinate theme provide several indicators for what we should expect syntactically and cadentially from the subordinate theme. In a foreign key, often closely related to the opening theme (usually a dominant or relative major relation), the subordinate theme occupies the area in a sonata form after the end of the transition (and, frequently, the medial caesura) and before the closing zone. Syntactically, Caplin, following Schoenberg and Ratz, regards the subordinate theme as 'loosely organized in relation to a relatively tight-knit main theme', and maintains that in order to 'acquire sufficient weight to vie for prominence with the home key … the subordinate theme must be fully confirmed by a perfect authentic cadence.' [202] Sonata Theory holds an elevated view of the subordinate or secondary theme (using their terminology). In particular, the cadence concluding the secondary theme, 'the moment when S attains a satisfactory perfect authentic cadence in the new key' is regarded as 'the most important generic and tonal goal of the exposition … Because of its role within the larger structure S is the most privileged zone of the expositional rotation.'[203] The cadence that concludes S, the Essential Expositional Closure (EEC), which divides the secondary-theme and closing-theme zones, is the goal to which all preceding music aims, and is represented by the 'first satisfactory perfect authentic cadence that proceeds onward to differing material.' [204] This PAC, the first successful PAC that leads to different material, has a dual function, being both the cadence at the end of a secondary theme and also the point of 'successful arrival and cadential securing of the secondary key, the accomplishment of a guided trajectory that had been generically "in mind" from the first moment of the piece.'[205]

As explored in "Part One", Sonata Theory also clearly defines how the secondary theme commences, which is to say that it should follow the medial caesura. The MC, 'the brief, rhetorically reinforced break or gap that serves to divide an exposition into two parts' forcibly opens the sonata-space

[201] William E. Caplin, *Classical Form*, 97.
[202] William E. Caplin, *Classical* Form, 97.
[203] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 117.
[204] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 120.
[205] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 123.

for the secondary-theme zone, and Sonata Theory asserts that without the medial caesura there can be no S.[206] Therefore, the identification of a secondary theme, and the designation of the exposition as two-part or continuous is predicated on this cadence. In order to frame an understanding of medial-caesura practice, Sonata Theory provides for a list of default options. Each category on this list is broadly popular or common in the repertoire, and is therefore considered a normative procedure, and the list is ordered in terms of statistical frequency. Any practice that diverges from these categorisations is considered a deformation.[207]

In terms of Mendelssohn's oeuvre these analytical frameworks present some interesting issues. First is the assertion by Sonata Theory that the establishment of second-theme space is inextricably linked to the successful presentation of a cadence at the end of the transition. Mendelssohn has not always provided a structural cadence in the opening section of the exposition (at the end of the main-theme zone), so it is likely that the medial caesura will also receive considerably different attention than expected. In terms of the medial-caesura analysis, the primary aim is to consider whether each of the expositions features a recognisable medial caesura. Thereafter, it is to interrogate whether the medial caesura is presented as a definitive gap in the music (with associated pause, prolongation, or strong articulation), or if the cadence is present but in a weakened fashion, if it is written-over in some manner, and indeed if it provides the necessary division of the expositional action spaces. Finally, this analysis will be framed against the list of defaults provided by Sonata Theory, but only as a statistical framework, not in a manner that indicates any agreement with the normative or deformational associations. Despite Sonata Theory's assertion that the secondary theme must follow a successful medial caesura, I follow Caplin's less rigid viewpoint: that the transition, 'unlike main and subordinate themes … need not end with a cadence.'[208] Where subordinate-theme material and thematic functions are present, I identify this as a second theme despite any prior medial cadence (successful, failed, or otherwise).

The second issue presented is the assertion that the subordinate theme, in order to confirm its position, must provide an authentic cadence. As evidenced in the preceding analysis, Mendelssohn does not always achieve thematic closure. It would not be difficult to imagine that themes lacking cadential closure are also present in his subordinate-theme zones. The implications of this are diverse, in particular under Sonata Theory's guidelines which place such emphasis on attainment of the EEC. Failure to produce a PAC likely equates with Sonata Theory's definition of a deformation: 'the stretching of a normative procedure to its maximally expected limits or even beyond them—or the overriding of that norm altogether.'[209] Therefore, of critical importance in this section is an examination of the prevalence of

[206] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 24-25.
[207] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 24-36.
[208] William E. Caplin, *Classical Form*, 125.
[209] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 614.

subordinate themes that fail to end with a PAC before the onset of closing zone material. If the main-theme results are taken as an initial indication, then it is likely that a high proportion of subordinate themes will end before a final cadence, in which case we must interrogate whether the term deformation is truly helpful in this situation. If a composer habitually employs a compositional convention, how applicable is deformation theory, given that this device has now become a compositional norm for that composer?

Third, and associated with subordinate-theme closure, is the identity of the beginning of the closing section. Caplin identifies it as 'a postcadential intrathematic function following a perfect authentic cadence. It consists of a group of codettas, often featuring fragmentation and a recessive dynamic.'[210] Sonata Theory opines that, 'by definition C is postcadential (post-EEC). Normally we cannot consider anything to be C until S has attained the EEC.'[211] This presents some issues, in particular for those pieces in which syntactic and functional S and C spaces can be identified, but the EEC is displaced or absent. However, that is not to say that Mendelssohn frequently follows the form-functional view of the closing section, either. With most Mendelssohn examples, the closing section is considerably enlarged, therefore not representative of 'a group of codettas',[212] and often the dynamic is more forceful than that of the preceding subordinate theme. Thus instead of placing emphasis on the identification of closing sections and closing themes through preceding cadential articulation, other parameters, such as rhetoric, are often more useful for distinguishing between subordinate-theme and closing-section spaces.[213] These rhetorical factors include increases in dynamic, textural intensity, and a surge in momentum, and closing sections are also commonly distinguished from the subordinate theme because they retrieve main-theme material. Thus we might speak of closing sections in terms of them being an energising force, and a dynamic section often leading to a strong cadence (either because the subordinate theme has not achieved closure, or the theme's cadence is sufficiently weak as to not constitute the EEC/ESC).

[210] William E. Caplin, *Classical Form*, 253.
[211] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 180.
[212] William E. Caplin, *Classical Form*, 122.
[213] Closing themes are distinct from closing sections in that they align closely with the rhetorical factors outlined with regards to closing sections, but they are also self-standing themes.

Table 3.2/1: Private Works Corpus (listed chronologically)

Work	*Opus*	*Movement*	*Date*
Piano Quartet No. 3	3	I	1825
		II	
		IV	
Octet for Strings	20	I	1825
		II	
		III	
		IV	
String Quintet No. 1	18	I	1826 (revised 1832)
		IV	
String Quartet No. 2	13	I	1827
		IV	
String Quartet No. 1	12	I	1829
		IV	
String Quartet No. 4	44/2	I	1837
		II	
		IV	
String Quartet No. 5	44/3	I	1838
		II	
		IV	
String Quartet No. 3	44/1	I	1838
		III	
		IV	
Cello Sonata No. 1	45	I	1838
		III	
Piano Trio No. 1	49	I	1839
		III	
		IV	
Cello Sonata No. 2	58	I	1843
		IV	
Piano Trio No. 2	66	I	1845
		IV	
String Quintet No. 2	87	I	1845
		II	
		III	
		IV	
String Quartet No. 6	80	I	1847
		III	
		IV	

Table 3.2/2: Public Works Corpus (listed chronologically)

Work	***Opus***	***Movement***	***Date***
Trompeten-Ouvertüre	101	-	1825
Overture, *Die Hochzeit des Camacho*	10	-	1825
Ouvertüre zum Sommernachtstraum	21	-	1826
Overture, *Meeresstille und glückliche Fahrt*	27	-	1828
Overture, *Die Heimkehr aus der Fremde*	89	-	1829
Symphony No. 5	107	I	1830
		IV	
Overture, *Die Hebriden*	26	-	1830
Overture, *Die erste Walpurgisnacht*	60	-	1832
Ouvertüre zum Märchen von der schönen Melusine	32	-	1833
Symphony No. 4	90	I	1833
		II	
Overture, *Ruy Blas*	95	-	1839
Symphony No. 2	52	I	1840
Symphony No. 3	56	I	1842
		II	
		IV	
Overture, *Athalie*	74	-	1845

3.2: Analytical Application

This chapter combines the generic case studies from the main-theme section, such that the first case study (private works) examines both the string quartets and the 'other chamber works', while the second case study (public works) examines the overtures and symphonies together, as demonstrated in Tables 3.2/1 and 3.2/2. The first section (3.3) will focus on an examination of the medial caesura. Therein each movement is organised using Sonata Theory's list of medial caesura defaults, the aim of which will be to identify statistical prevalence of the so-called normative procedures. The second section (3.4) will address subordinate-theme cadential articulation, categorising and distinguishing subordinate themes that achieve structural closure through the EEC, those in which the structural closure is delayed until later in the exposition (typically post-C), and those expositions in which no EEC is provided. The analysis will also examine the type and degree of closure. The categories for this analysis adopt a modified approach to those adopted for main themes, in order to reflect the fact that the subordinate theme is not (usually) in the tonic key (Table 3.2/3). Therefore, *S-Closure Category 1.a* refers to movements which achieve a strong PAC in the key presented by the subordinate theme. *S-Closure Category 1.b* designates weak PAC closure,

and *S-Closure Category 1.c* catalogues HC or IAC closure, all in the subordinate theme's principal key. *S-Closure Category 1.d* is assigned to any movement in which the subordinate theme is based predominantly in one key area, but the final cadence tonicises an alternative, or in which multi-part themes feature several distinct, tonicised sections, and the final cadence is not reflective of the key of every larger function therein. *S-Closure Category 2* applies to any example in which the subordinate theme does not achieve the structural EEC, but later material does provides the cadence, usually in the form of a closing section pre-EEC. *S-Closure Category 3*, on the other hand, designates movements where no EEC (either at the end of S, C, or the codetta) is produced.

Table 3.2/3: Subordinate Theme Categories of Closure

Category 1		**Subordinate theme ends with a cadence (C post-EEC)**
	1.a	Strong PAC articulation (in S-theme key)
	1.b	Weak PAC articulation (in S-theme key)
	1.c	IAC or HC articulation (in S-theme key)
	1.d	Cadence, but does not correspond with key of S
Category 2		**No S cadence; material dissolves (C pre-EEC)**
Category 3		**No EEC**

3.3: Medial Caesura

Towards the end of the eighteenth century, the most common medial caesura option for major-mode pieces is the half cadence based either on an active dominant or in the dominant key,[214] which by association indicates that the transition has produced a tonic-dominant modulation. Sonata Theory's minor-mode first-level defaults are also presented as half cadences, based in one of the expected transition modulations: either the III:HC (for relative-major modulation) or the v:HC (for modulation to the minor dominant). The second-level default features a cadence in the tonic, either the I:HC (major-mode pieces) or the i:HC (minor-mode pieces), thereby suggesting that the transition has not affected a modulation, and the subordinate theme must either move immediately to the new key, or the modulation must take place within the early stages of the subordinate-theme space. While the first- and second-level defaults feature half cadences, according to Sonata Theory the next two defaults feature the (less common) PAC variety. In the third-level default category, the MC is based in the new key, either a V:PAC in the major-mode, or a III:PAC or v:PAC in the minor-mode. While PACs are stronger cadential closures than the HC variety, they do present certain issues: they negate the expected effect of 'opening' the sonata space; and create a tension with the EEC, as a PAC in the new key has already been achieved.[215] Rarer still is the fourth-level default, where the MC either maintains or diverts back (if a brief modulation has occurred) to the tonic (I:PAC/i:PAC, or sporadically the I:IAC). One other option is the trimodular block (TMB), where rather than a single caesura event, the sonata form produces a second cadence, with the appearance of a double medial caesura.

[214] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 25.
[215] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 27-29.

3.3.1: Private Works

Table 3.3.1/1: Private Works Medial Caesura Results

1st-level default		
	Major-mode: V:HC MC	Piano Quartet No. 3 Op. 3/ii String Quintet No. 1, Op. 18/i String Quintet No. 1, Op. 18/iv String Quartet No. 1, Op. 12/i
	Minor-mode: III:HC MC	String Quartet No. 3, Op. 44 No. 1/iii Piano Trio No. 2, Op. 66/i Piano Trio No. 2, Op. 66/iv String Quintet No. 2, Op. 87/ii String Quartet No. 6, Op. 80/iv
	Minor-mode: v:HC MC	Piano Quartet No. 3, Op. 3/iv String Quartet No. 2, Op. 13/iv String Quartet No. 1, Op. 12/iv String Quartet No. 4, Op. 44 No. 2/i String Quartet No. 5, Op. 44 No. 3/ii String Quintet No. 2, Op. 87/iii
	Variations on 1st-level default	Piano Trio No. 1, Op. 49/i Cello Sonata No. 2, Op. 58/iv String Quintet No. 2, Op. 87/i
2nd-level default		
	Major-mode: I:HC MC	-
	Minor-mode: i:HC MC	-
3rd-level default		
	Major-mode: V:PAC MC	Octet, Op. 20/i Octet, Op. 20/iv
	Minor-mode: III:PAC MC	Octet, Op. 20/iii
	Minor-mode: v:PAC MC	-
	Variations on 3rd-level default	String Quartet No. 2, Op. 13/i String Quartet No. 4, Op. 44 No. 2/ii String Quartet No. 5, Op. 44 No. 3/i
4th-level default		
	Major-mode: I:PAC/I:IAC MC	-
	Minor-mode: i:PAC MC	-
Double Medial Caesura		Piano Quartet No. 3, Op. 3/i String Quartet No. 3, Op. 44 No. 1/i String Quartet No. 3, Op. 44 No. 1/iv Piano Trio No. 1, Op. 49/iv Cello Sonata No. 2, Op. 58/i
Other category		Octet, Op. 20/ii String Quartet No. 4, Op. 44 No. 2/iv String Quartet No. 5, Op. 44 No. 3/iv Cello Sonata No. 1, Op. 45/i
No Medial Caesura		Cello Sonata No. 1, Op. 45/iii Piano Trio No. 1, Op. 49/iii String Quartet No. 6, Op. 80/i String Quartet No. 6, Op. 80/iii String Quintet No. 2, Op. 87/iv

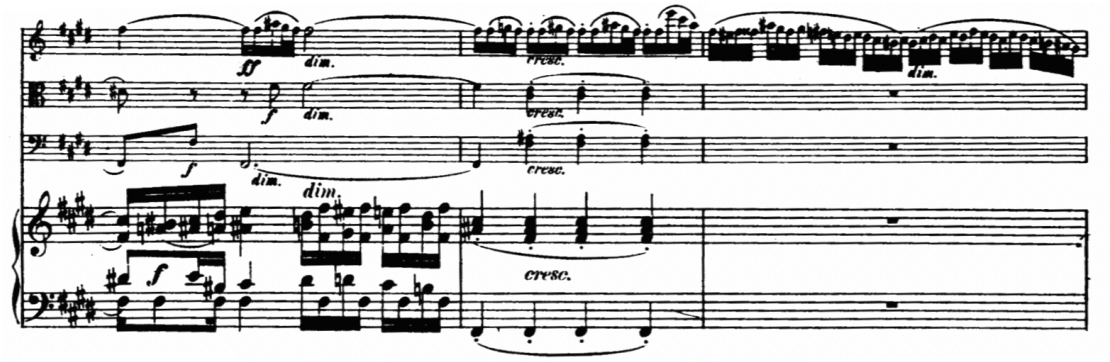
Statistically, the largest portion of movements in this case study falls under one of the first-level defaults or their variants (eighteen). The third-level defaults, plus variants, and the double medial caesura account for a significant number of the remaining movements (six and five respectively), while the final nine movements either feature an alternative cadence to Sonata Theory's list (four) or do not in fact contain a

medial caesura cadence (five). In the majority of the movements, however, despite the identification of a medial caesura cadence, the rhetorical break expected by Sonata Theory does not often materialise. Thus, while cadential material is present, and may be 'rhetorically reinforced' through a change of rhetoric (i.e. the transition is audibly distinct from the subsequent theme), a 'break or gap' is not necessarily evidenced, as demonstrated in the examples herein.

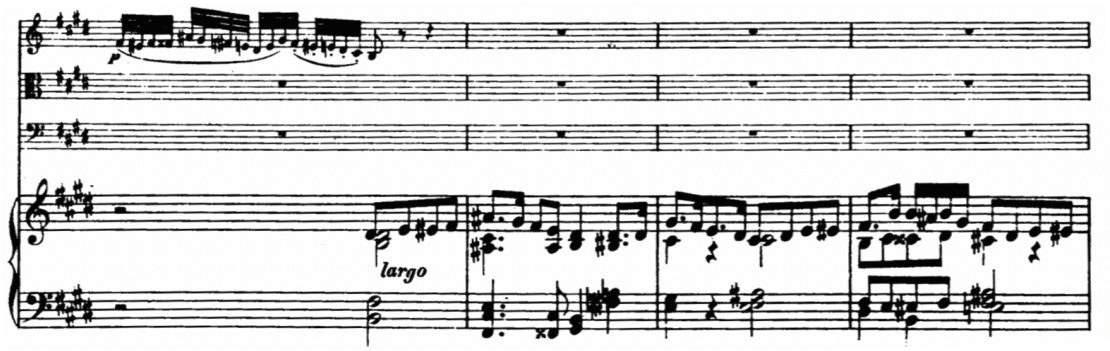
Four movements follow the major-mode V:HC MC option. In the second movement of Op. 3 (Example 3.3.1/1), a B-major half cadence is produced in measure 18, and is followed by two measures of brief caesura-fill before the onset of the subordinate theme in measure 20. The first movement and finale of Op. 18 both follow similar patterns, wherein the V:HC MC (measure 72 and measure 34 respectively) is followed by a caesura-fill. Finally, the medial caesura in Op. 12/i is presented as a V^6_5/V in measure 58.

Example 3.3.1/1: Piano Quartet Op. 3/ii MC

(1) *...(<-MT, E major, and TR)* V:HC MC Caesura-fill



(1) Subordinate theme (B major)

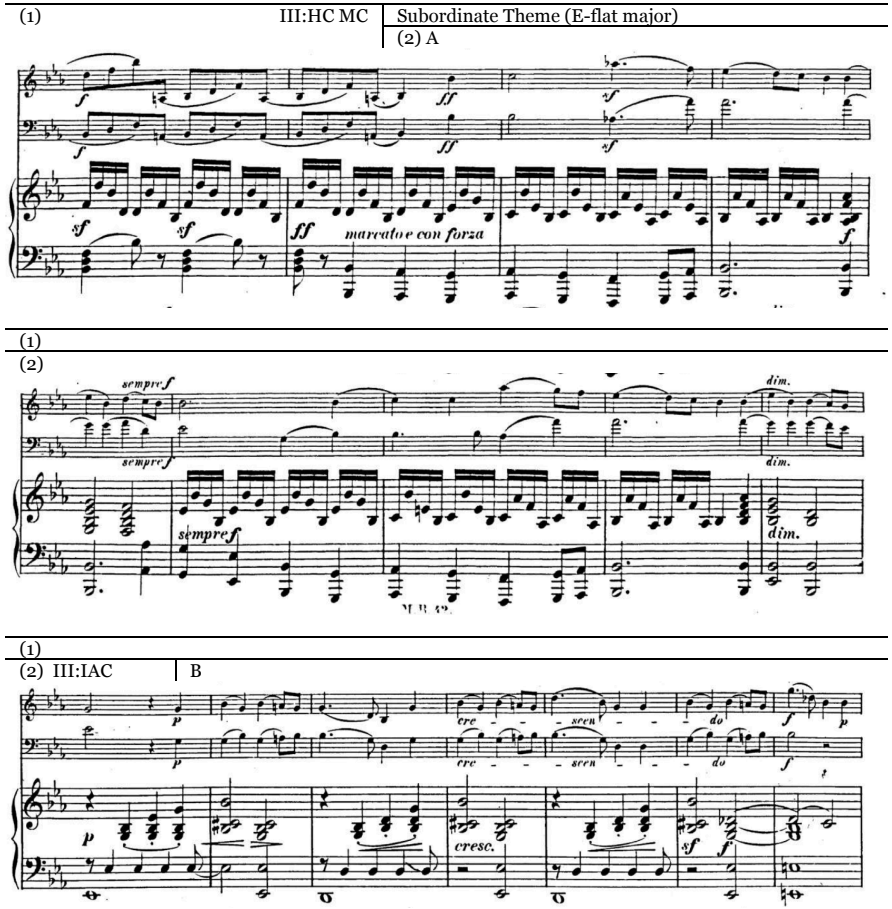


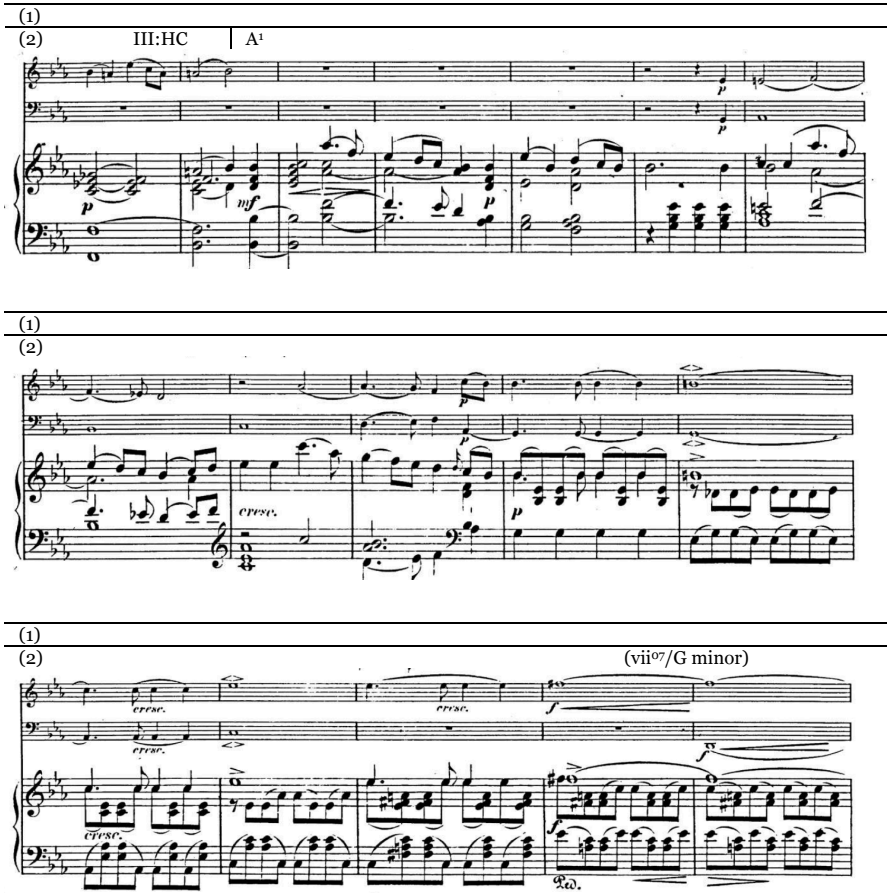
There are five minor-mode movements which produce the III:HC MC option: Op. 44 No. 1/iii, Op. 66/i, Op. 66/iv, Op. 87/ii, and Op. 80/iv. Each of the 'other chamber works' examples also contain tonal issues in the second part of their expositions. Op. 66/i (Example 3.3.1/2) features a three-key exposition: following a C-minor main theme, the medial caesura opens the subordinate theme in E-flat major, but the theme slips to G minor at its conclusion (non-cadentially). The subsequent closing section

is based in G minor, meaning that the medial caesura and the tonality of the latter stages of the exposition are non-corresponding. While the first movement features this tonal mismatch, the issues are more internal to the theme itself in Op. 66's finale: while the medial caesura opens the theme to III, the antecedent is articulated by a C-minor PAC. The consequent reasserts E-flat major, and the exposition closes in this tonality (albeit without a structural EEC). Op. 87/ii operates similarly, although the theme is articulated by a cadence in this case. Thus, the MC and EEC both support III (B-flat major), despite the antecedent articulating a (tonic) G minor PAC.

String Quartet No. 3, Op. 44 No. 1/iii features a transition that culminates on a weak III:HC MC. The harmonic motion is from V/III to III, but with the secondary dominant on the downbeat, the cadence is weakened. Finally, Op. 80/iv (Example 3.3.1/3) produces the III:HC MC in measures 47-48, and thereafter the subordinate theme is initially anchored in A-flat major (III). However, the exposition fails to produce an A-flat major structural cadence following the early antecedent PAC, and therefore the exposition yields to the development having not provided an EEC.

Example 3.3.1/2: Piano Trio No. 2, Op. 66/i MC, S, EEC

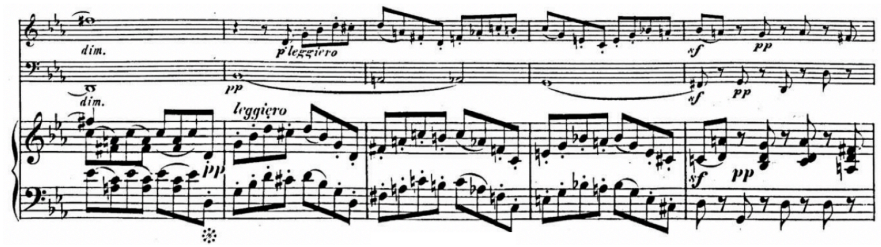




(1) Closing Section (G minor)

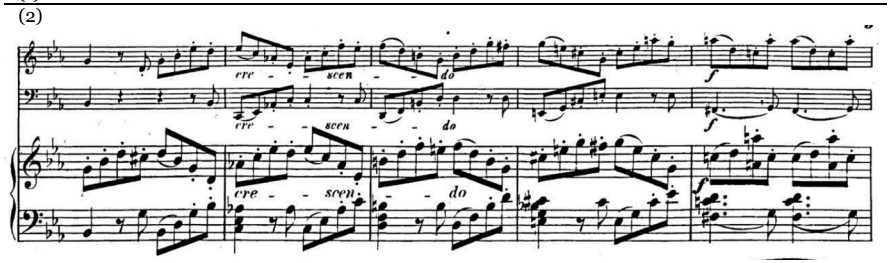
(2) G minor: V - I

No cadence



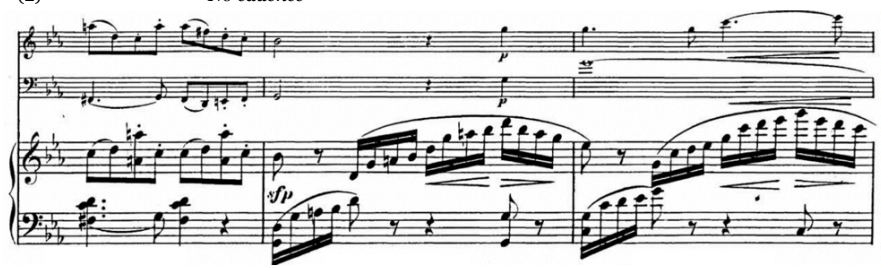
(1)

(2)



(1) Closing Section (Pt.2)

(2) *No cadence*



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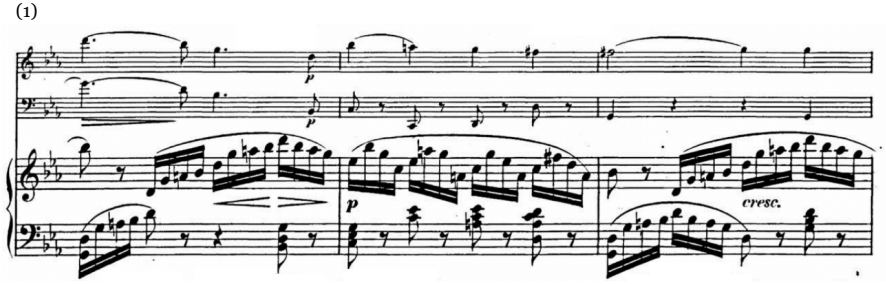

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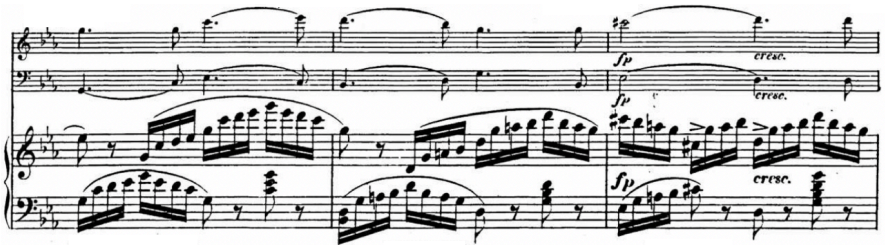

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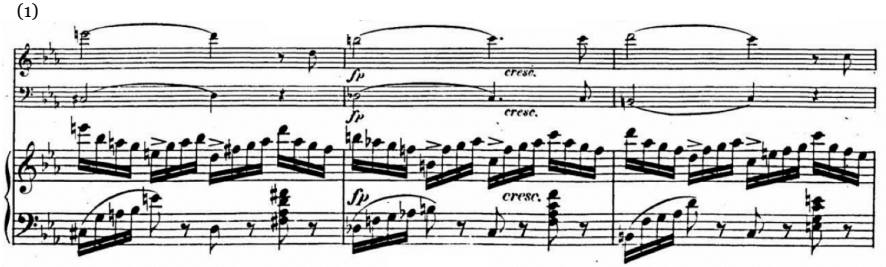
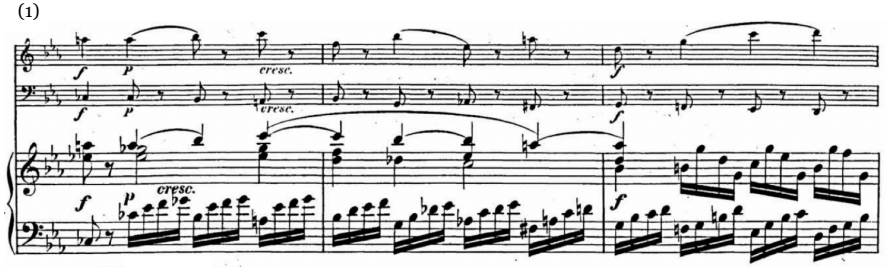
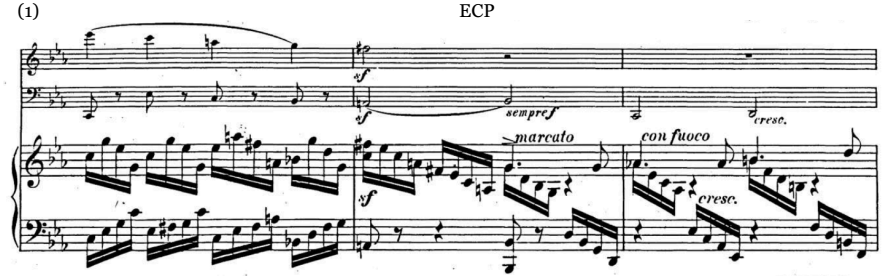


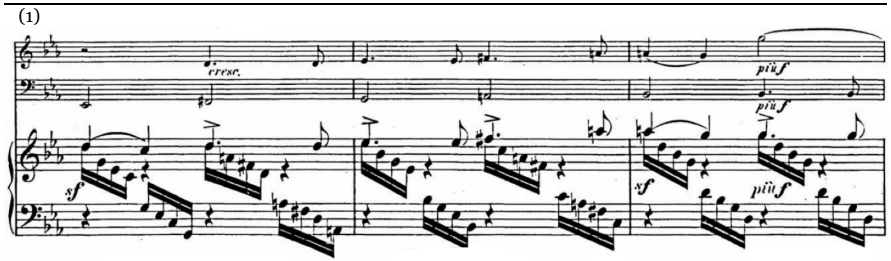
(1)



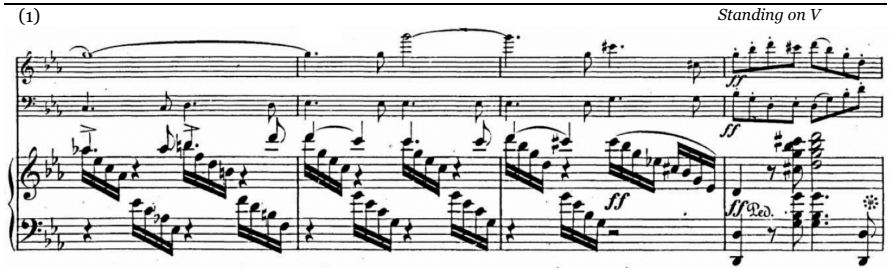
(1) ECP



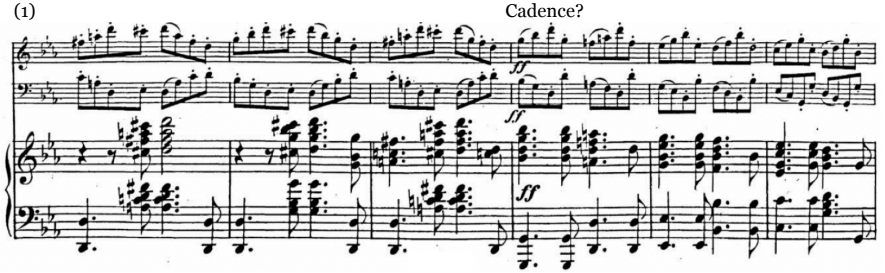
(1)



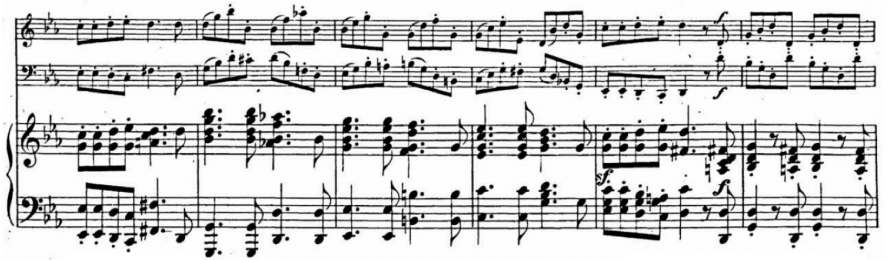
(1) *Standing on V*



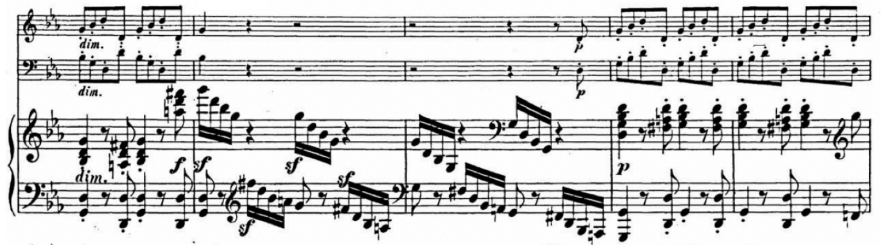
(1) Cadence?



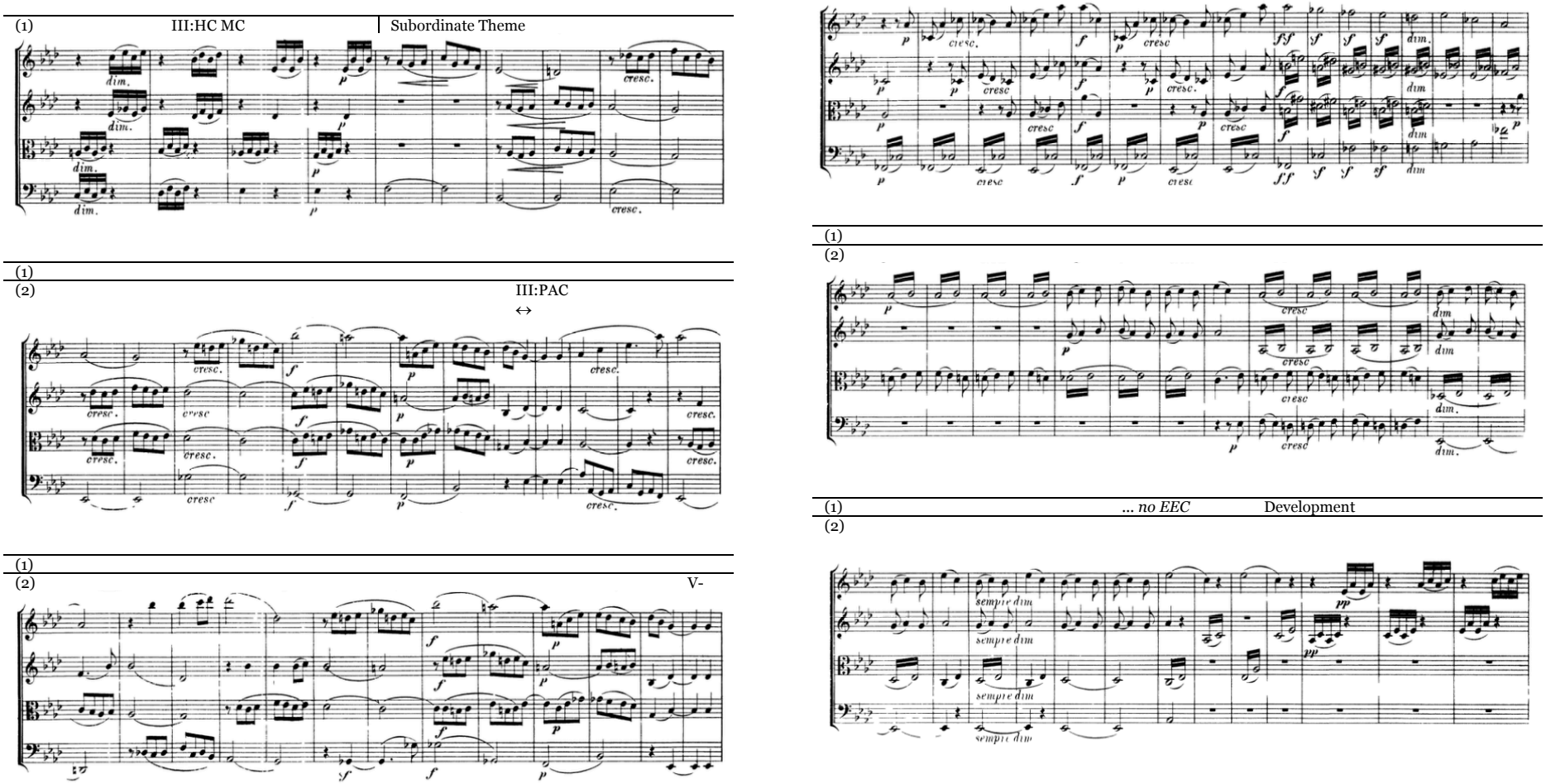
(1) Cadence?



(1) Development



Example 3.3.1/3: String Quartet No. 6, Op. 80/iv MC, S



The second first-level default option for minor-mode pieces is the v:HC MC, which is evidenced in Op. 3/iv, Op. 13/iv, Op. 12/iv, Op. 44 No. 2/i, Op. 44 No. 3/ii, and Op. 87/iii. There are again tonal issues surrounding the v:HC MC in Op. 3/iv. While the subordinate theme commences in the minor dominant (F-sharp minor), the theme modulates to A major and cadences in that key, producing another instance of non-correspondence between the MC and the EEC. The same is true of Op. 44 No. 2/i (Example 3.3.1/4). Following an E-minor main theme, the transition vigorously supports modulation to the minor dominant (B minor), seemingly confirmed by the medial caesura cadence, a v:HC, in measure 47. A short subsequent caesura-fill, however, based on an active dominant F#-G trill, shifts F# to a G major chord on the final beat of measure 52, thereby resulting in a subordinate theme in G major (III). Thus, the medial caesura corresponds with the transition's material, but not with the subsequent theme which progresses in the relative major.[216]

Op. 13/iv (Example 3.4.1/1) features an arrival on the dominant in measure 78, followed by the medial caesura (V:HC MC) a short time later in measure 86. The transition space is further extended by a brief caesura-fill, with the subordinate theme commencing in measure 90.

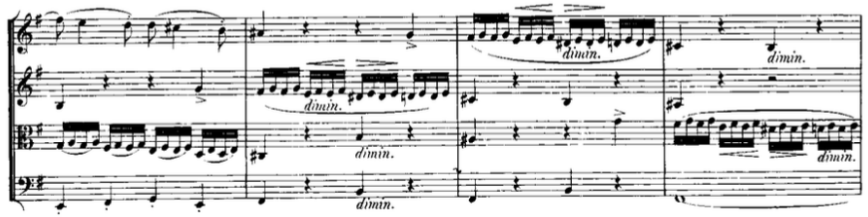
The medial caesura in Op. 12/iv takes place in measure 54, and corresponds with the majority of the S and C material. However, while this cadence corresponds with the key of the movement's sonata space (which is C minor), the movement itself does not correspond with the piece, given that the global tonic of Op. 12 is E-flat major (which is asserted only in the coda). The subordinate theme features an internal modulation, considered in the subsequent section (3.4.1), with important implications for this disparity between the movement's and the piece's tonic. The medial caesura in Op. 44 No. 3/ii is produced in measure 39, but the ensuing material is analytically problematic, as demonstrated in section 3.4.1.

Op. 87/iii (Example 3.3.1/5) features a v:HC MC, but the modality of the majority of the subordinate theme supports A major. Nonetheless, A minor is retrieved in the final concluding tonic of the theme, which produces a sudden mode-switch to A minor, thereby producing correspondence between the MC and EEC (even if this correspondence is not present in the theme itself).

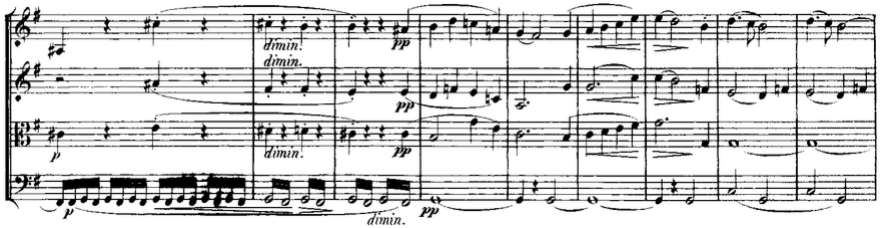
[216] Detailed further in Benedict Taylor, 'Mendelssohn and Sonata Form: The Case of Op. 44 No. 2' in *Rethinking Mendelssohn*, ed. by Benedict Taylor (Oxford and New York: Oxford University Press, 2020): 185-209.

Example 3.3.1/4: String Quartet No. 4, Op. 44 No. 2/i MC, S

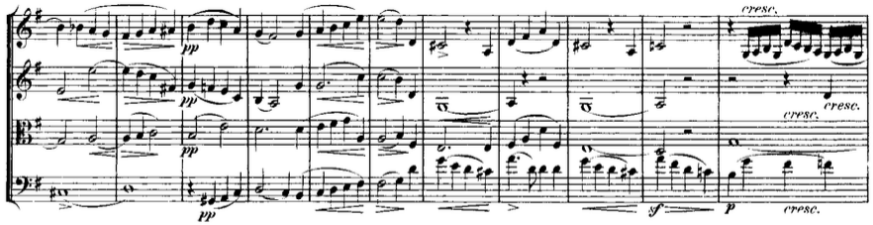
(1) *Transition* v:HC MC *(B minor established)* + MC-fill



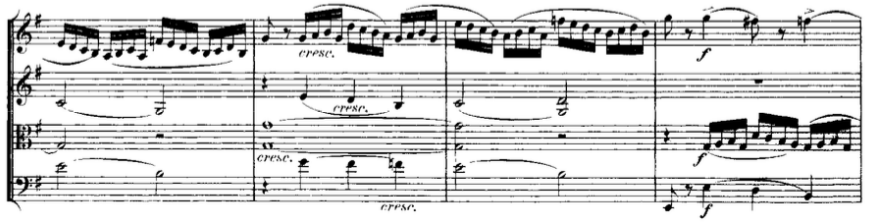
(1) | Subordinate Theme (G major)
(2) Antecedent



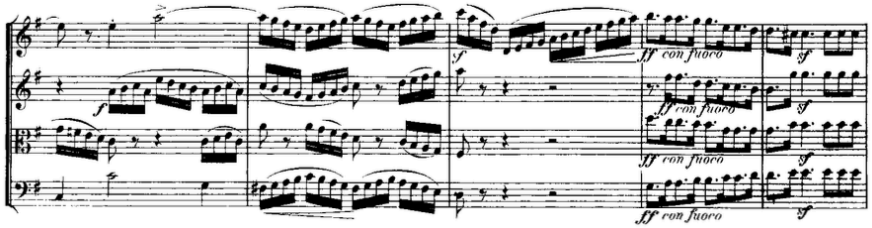
(1)
(2) III:HC | Consequent — *Open-ended* — *TR-based material*



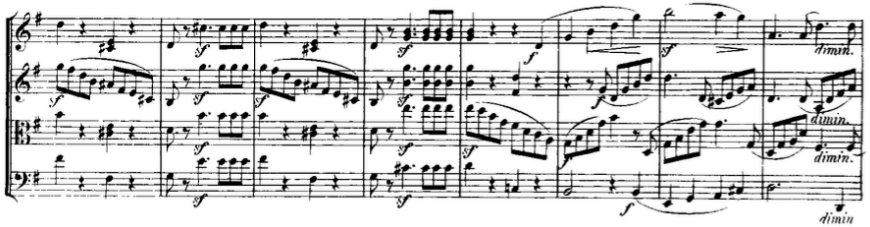
(1)
(2)



(1)
(2)

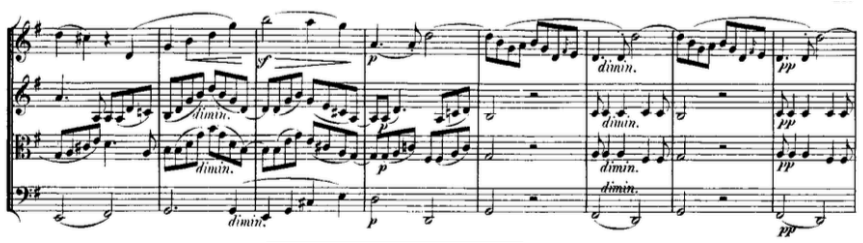


(1)
(2) *MT-based material*



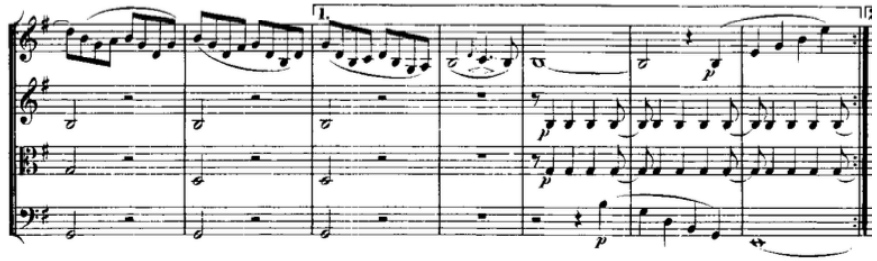
(1)

(2) IAC Event 1 Codetta IAC Event 2



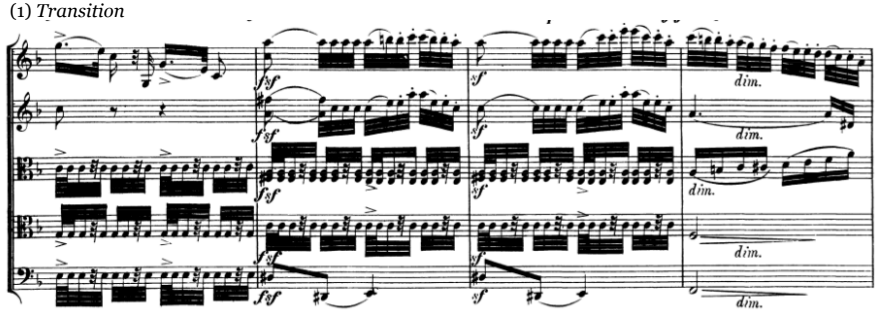
(1)

(2) IAC Event 3 ... no real EEC



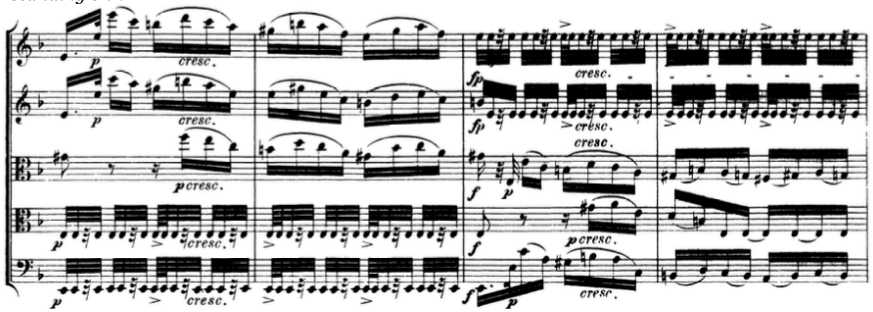
Example 3.3.1/5: String Quintet No. 2, Op. 87/iii MC, S, EEC

(1) *Transition*

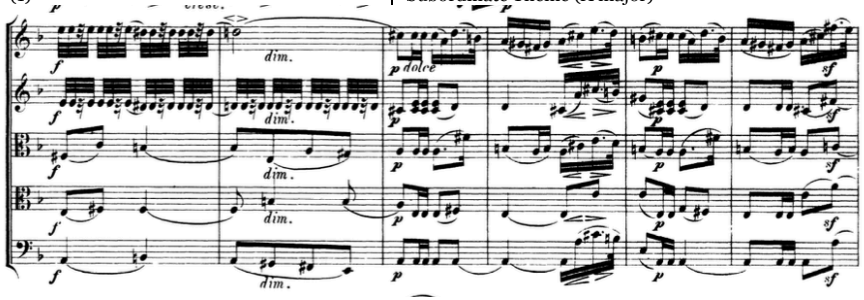


(1) v:HC MC + caesura-fill

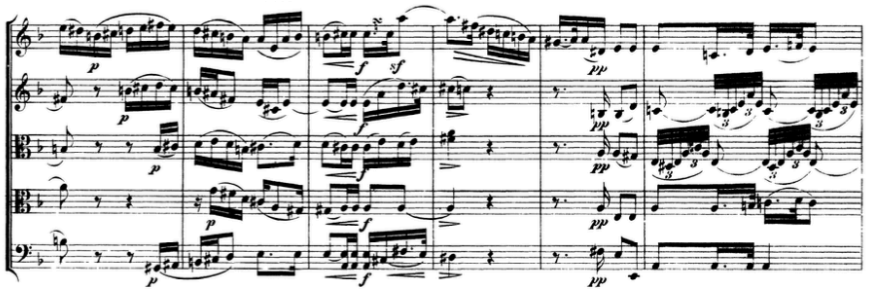
Standing on V



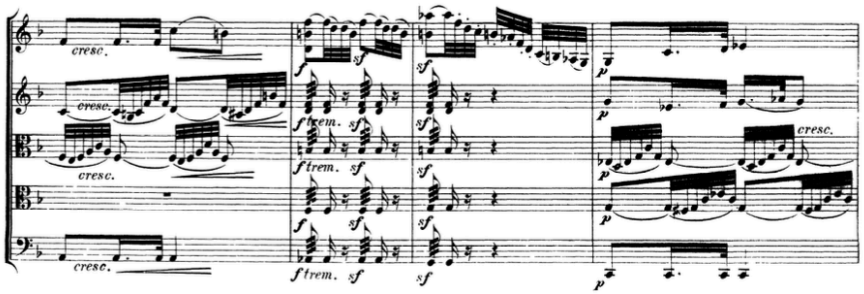
(1) Subordinate Theme (A major)



(1) *Mode switch* v:IAC (A minor) ↔ | Closing Section (A minor)



(1) *... also acts as RT to recap ...*



Three movements feature a modification of the first-level default types. The first, Op. 87/i, would undoubtedly be considered a deformation by Sonata Theory. In the context of a B-flat major movement, the transition culminates on a dominant half cadence in measure 53; but, with E♮ in the bass ($^{6}_{3}$), rather than root position C ($^{5}_{3}$), the medial caesura is presented in first inversion – 'regardless of whether the dominant has previously appeared in root position, this situation should be understood as a *medial-caesura deformation*.'[217] Furthermore, while the medial caesura does correspond with the EEC in this movement, it does not align with the tonality of the majority of the theme itself, which tonicises C major, F major, A major, B-flat major, G minor, and D minor at various points.

Op. 49/i presents a variation on the minor-mode dominant half-cadence. Rather than modulating from the tonic minor (D minor) to the dominant *minor*, the transition concludes on a dominant-*major* half cadence, which opens the subordinate theme in A major. Given that the theme concludes in A major, and produces an A major EEC, both structural cadences (MC and EEC) correspond. The movement, however, conveys a modally-mixed exposition in its closing units, thereby producing the minor-tonic to minor-dominant relationship through the closing section.

The last example, Op. 58/iv, presents a tenuous major-mode V:HC at best. The transition's harmony concludes from a V/V/V onto an elided V/V at the start of the subordinate theme, which might suggest a dominant half cadence, but given that it is elided (and that the V/V initiates a dominant pedal), it is questionable if the MC-space is cadential.

There are no second-level defaults in the case study, but there are three movements which fall under the third-level defaults: Op. 20/i and iv, and Op. 20/iii. While the material post-measure 37 in the Octet's first movement is regarded by Taylor as still functioning within the main-theme zone,[218] I have grouped this as part of the transition given its tonally mobile nature. As such, following the main theme's concluding E-flat major plagal cadence in measure 37, the transition features an F-minor half cadence (ii:HC) in measure 45, and a G-minor half cadence in measure 52 (iii:HC), before concluding with a B-flat major PAC (V:PAC) in measure 68, overlapping the start of the subordinate theme. This represents the MC-proper, and therefore constitutes a third-level default, albeit within the context of a multi-part transition zone. Op. 20/iv also presents the major-mode V:PAC option at the end of its transition.

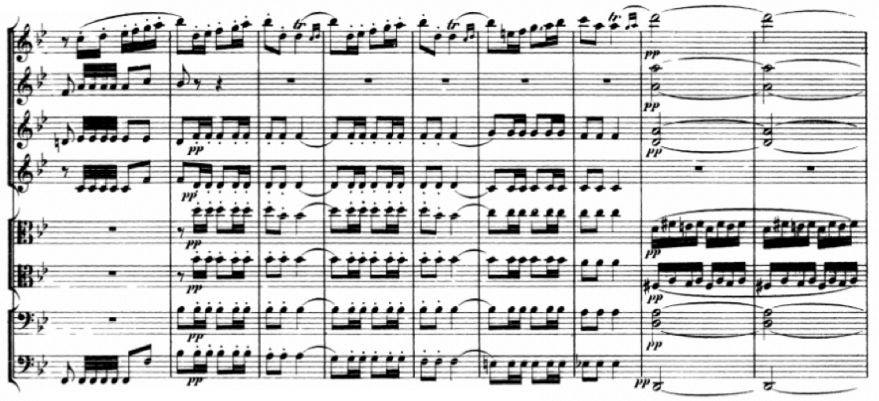
The Octet's third movement (Example 3.3.1/6) produces a weak, elided minor-mode III:PAC option; however, more evidence of discontinuity exists between the medial caesura (which supports III, B-flat major) and the subordinate theme's concluding units (which support V, D major, albeit a cadential reading of this section is problematic, and suggests prolongational formal closure instead).

[217] James Hepokoski and Warren Darcy, *Elements of Sonata Theory,* 26.
[218] Benedict Taylor, 'Musical History and Self-Consciousness in Mendelssohn's Octet, Op. 20', 137.

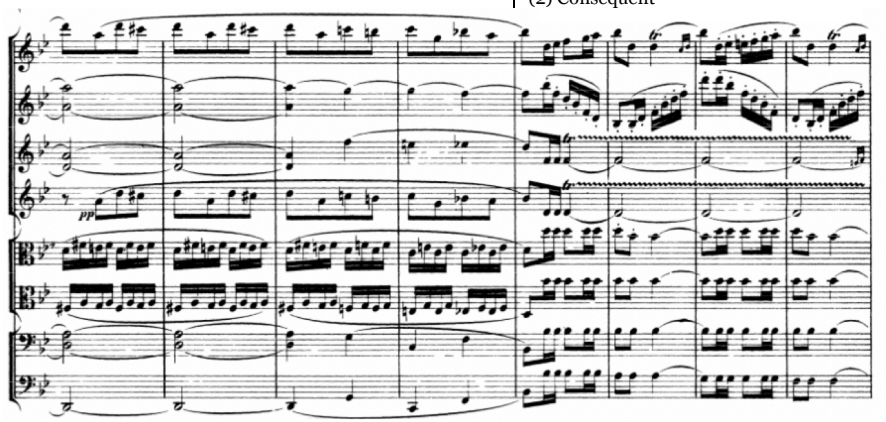
There are several variations on the third-level default medial-caesura types, which alter the dominant authentic cadence. Op. 13/i (Example 3.3.1/7) alters the minor-mode v:PAC to a v:IAC, elided with the subordinate theme, while Op. 44 No. 2/ii and Op. 44 No. 3/i (Example 3.3.1/8) alter the major-mode V:PAC to a V:IAC.

Example 3.3.1/6: Octet, Op. 20/iii MT, MC, S

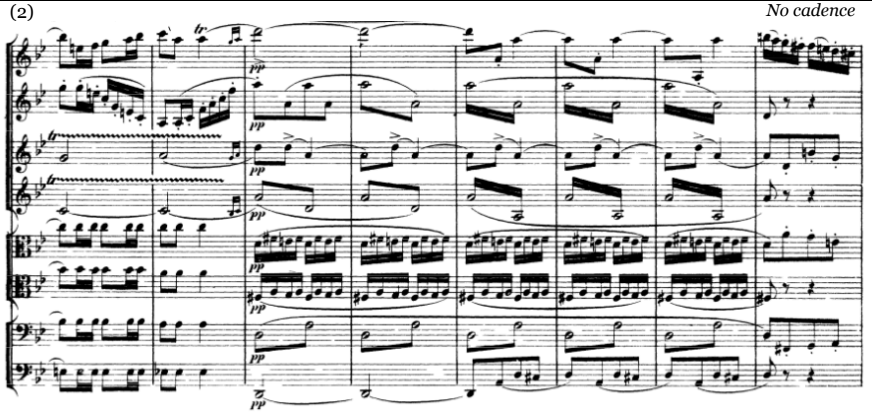
(1) III:PAC MC ↔ (2) Antecedent | Subordinate Theme (B-flat major)



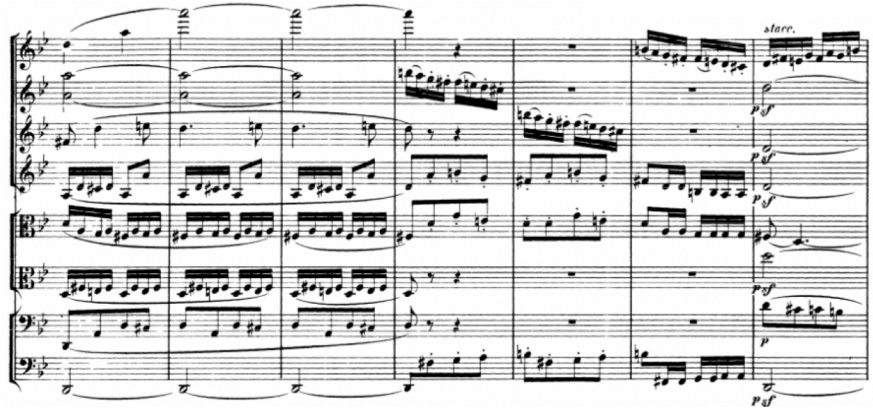
(1) (2) Consequent



(1) (2) *No cadence*

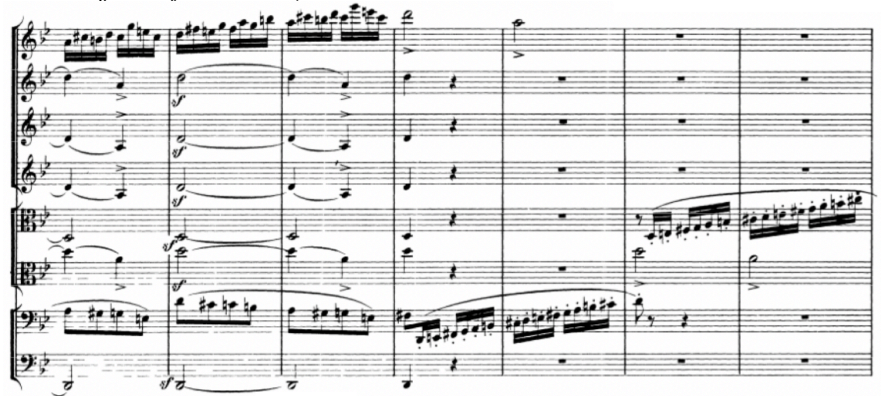


(1) (2)



(1)

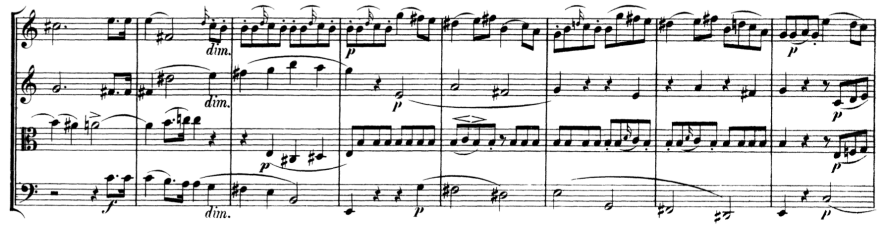
(2) *D pedal*
Prolongational formal closure, not cadential



Example 3.3.1/7: String Quartet No. 2, Op. 13/i MC

TR | *Subordinate theme pre-empted in Violin I* | v:IAC MC | Subordinate theme

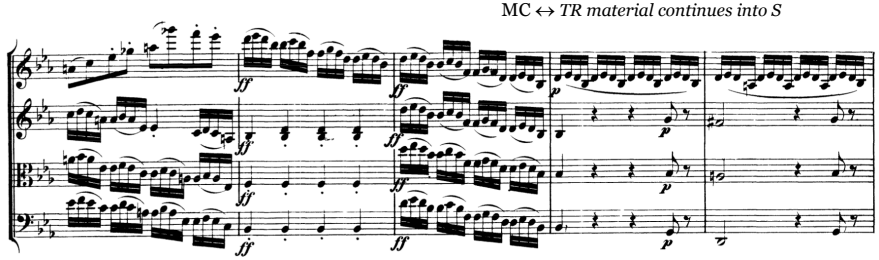
Bass motion delayed



Example 3.3.1/8: String Quartet No. 5, Op. 44 No. 3/i MC

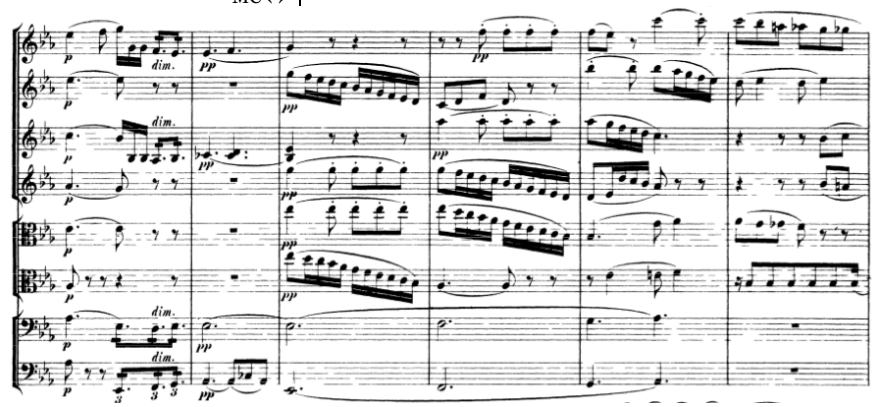
TR | V:IAC | Subordinate Theme

MC ↔ *TR material continues into S*



Example 3.3.1/9: Octet, Op. 20/ii MC

TR | Imperfect Plagal Cadence MC ↔ | Subordinate Theme



There are also no examples of the fourth-level default (tonic PAC), but the double medial caesura is used in five examples. The double medial caesura is typically formed as a trimodular block, described by Sonata Theory, as an exposition which executes 'a second, additional medial caesura before the EEC.'[219] However, in these Mendelssohn examples, the double medial caesura does not follow the typical TMB situation that they propose, wherein the first medial caesura initiates a potential first subordinate-theme zone, with another ST section following the secondary MC: 'in these situations we find at least three elements: the first new theme after the first caesura; its dissolution and the setting up of the second caesura; and the onset of a different S-theme, starting its own, renewed journey toward the EEC.'[220] Mendelssohn's movements also do not correspond with the assertion that the first MC (and first S-idea) 'conveys the impression of a flawed or unsatisfactory' event.[221] Nonetheless, they also do not correspond with the alternative approach of the 'medial caesura declined' wherein an early MC offering is 'brusquely' rejected, in favour of continued 'pre-MC space' with the 'real MC' deferred.[222] There is no apparent 'retrospective cancellation' of the first medial caesura event.[223] Mendelssohn's double medial caesuras more closely align with Hepokoski and Darcy's 'situation 3' in their medial caesura study: 'The music following the proposed MC accepts the generically expected new key but decisively reinvigorates obvious TR-texture (or pointedly avoids all features of normative S-rhetoric).'[224] Thus, given that it is evident that the first MC-event is not declined, and given that the repertoire does not necessarily follow the TMB design either, the transitions instead exemplify a categorisation simply as those containing a double medial caesura, wherein two cadential events take place, with continued TR-texture in the intervening space.

The first movement of Op. 3 features an unusual modulation in the transition from B minor (i) to A major (VII), with an A major PAC in measure 86 (and a subsequent standing on A between measures 86 and 94). Another A major PAC is produced in measure 106, and over the course of the next four measures (with sustained dotted minims) the key shifts to D major, through the lowering of G♯ to G♮, and the theme cadences in D major.

In Op. 58's first movement, the transition culminates first on a V:PAC in measure 39, and following an expanded caesura-fill, concludes with a V:HC in measure 66. The finale of Op. 49 features two III:HC caesuras, separated by a medial caesura-fill; however, the second of these (in measure 52) is in first inversion (V^6_5/III), and would therefore constitute another of Sonata Theory's deformations.

Similar circumstances are presented in Op. 44 No. 1/iv: the transition culminates on an initial V:HC in measure 45, but following a caesura-fill the second dominant half cadence (measure 60) is

[219] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 171.
[220] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 171.
[221] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 171.
[222] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 45.
[223] James Hepokoski and Warren Darcy, 'The Medial Caesura and Its Role in the Eighteenth-Century Sonata Exposition', 138.
[224] James Hepokoski and Warren Darcy, 'The Medial Caesura and Its Role in the Eighteenth-Century Sonata Exposition', 143.

presented in first inversion. Finally, Op. 44 No. 1/i produces two cadences in its transition: first, an E major IAC (V/V:IAC), which is another example of the Caplinian reinterpreted half cadence[225] (V/V:IAC ⇒ V:HC) and, second, a V:PAC. Despite the vigorous tonicization of A major (both through the V/V:IAC ⇒ V:HC and the V:PAC), the subordinate theme immediately side-steps this and commences in F-sharp minor. Despite the extensive use of F-sharp minor in the theme, the exposition ultimately concludes in A major, albeit there is no structural cadence.

The remaining four movements do not fall within the realms of Sonata Theory's defaults hereto discussed. Op. 20/ii (Example 3.3.1/9) produces an unusual medial caesura in measure 39: an E-flat major (III) plagal cadence, with motion from the subdominant, rather than the dominant, to the tonic. Moreover, as the cadence features $\hat{3}$ in the soprano, an imperfect version of the plagal cadence is produced. This is a highly unorthodox version of a medial caesura.

Op. 45/i (Example 3.3.1/10) is an interesting example which stretches the III:HC MC type, noteworthy as it is in the context of a major-mode movement. The cadence takes place in measure 59 (following establishment of V/III in measure 51), and initially seems to be presented as a V^4_2/III. It is possible to read this as the more straight forward V^7/III, if we assume that the bass note is not the G but is instead the A carried over from the preceding two measures. Nonetheless, the medial caesura does not correspond with the post-C EEC, which supports the dominant (the theme is in fact tonally mobile in this movement).

While Op. 49/i produces a major-mode V:HC in the context of a minor-mode movement (observed earlier in the category detailing variations on the first-level default), Op. 44 No. 3/iv (Example 3.3.1/11) presents the opposite: the medial caesura takes a tragic turn in a heretofore major-mode context. The transition arrives on a V:HC in measure 36 (an MC-effect, 'locking onto the structural dominant' in advance of 'the actual articulation of the MC'[226]), but the MC itself occurs in measure 44, articulating motion to B-flat minor. In the context of the movement's E-flat major tonic, motion to B-flat minor at the end of the transition, and by association the choice of a v:PAC MC (minor by the presence of D♭ in the violin II), is a very unusual choice. The ensuing theme begins tonally mobile, tonicising several keys (B-flat major, B-flat minor, and D-flat major) before the EEC is ultimately confirmed in B-flat major (at the end of the closing section), and the exposition is rescued from its tragic turn by finally effecting and sustaining a modulation to the expected dominant major.

The chord of resolution in Op. 44 No. 2/iv is unusual. The subordinate theme begins in measure 75 over V/III, meaning that the preceding chord is #vii^o/V in G major. Likely the real medial caesura is

[225] William E. Caplin, *Analyzing Classical Form*, 90.
[226] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 31.

the III:HC underpinning measure 75, but this is written over by the start of the theme, thereby forcing the #vii°/V/III to act as the medial caesura.

The final five examples, Op. 45/iii, Op. 49/iii, Op. 80/i, Op. 80/iii, and Op. 87/iv likely feature no medial caesuras. In the case of Op. 45/iii, identifying a subordinate-theme group itself is also problematic. The most likely candidate is the material from measure 44, but this is not preceded by cadential motion. The Scherzo of Op. 49 initially seems to yield a V:PAC MC at the conclusion of the transition. But in the context of the ensuing material, which is entirely postcadential and does not feature thematic content, this cadence is in fact functioning as the EEC.

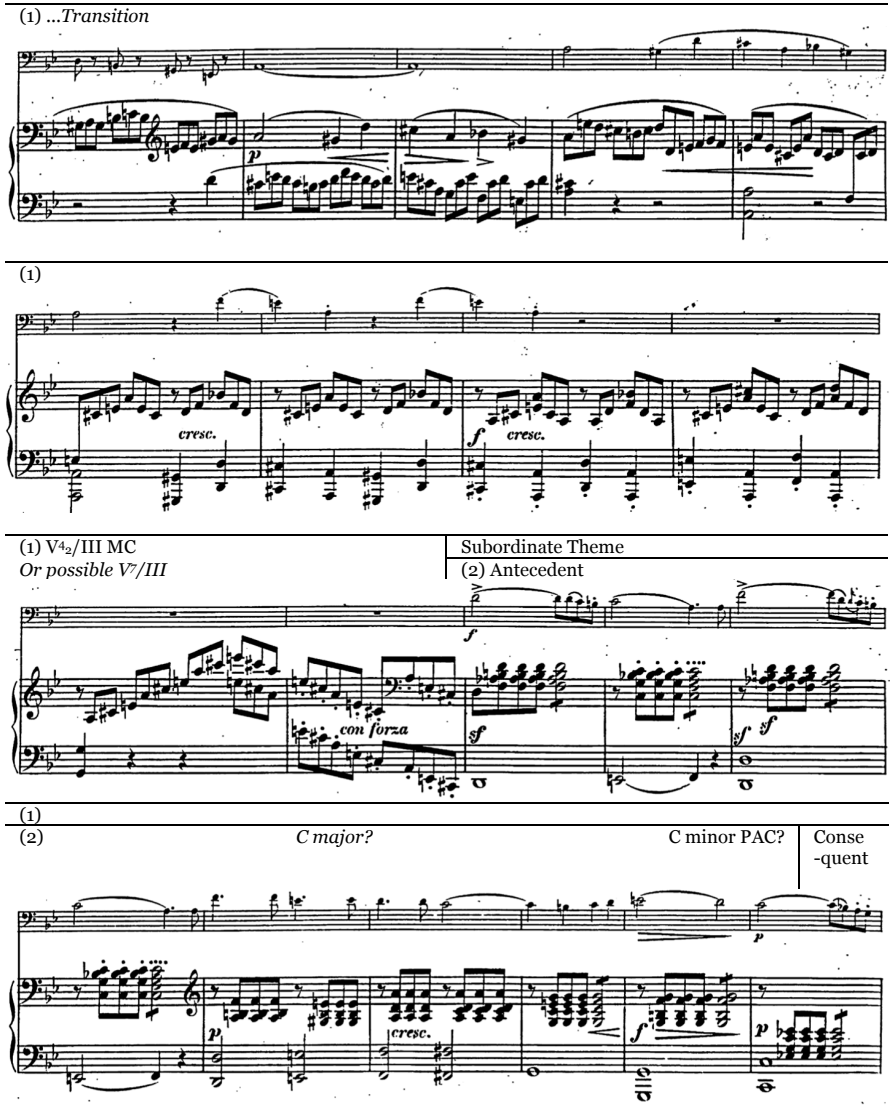
In Op. 80/i, the material of the transition similarly produces no overt cadential motion at its conclusion. There is the possibility of a V/V in III (A major, the key in which the subordinate theme is based), thereby potentially producing a form of Phrygian half cadence, but this is elided with the downbeat of the theme if so, and is further complicated by the presence and persistence of a dominant lock for the first part of the theme. Similarly, the subordinate theme in Op. 80/iii (Example 3.3.1/12) emerges in measure 27 having not achieved a medial caesura.

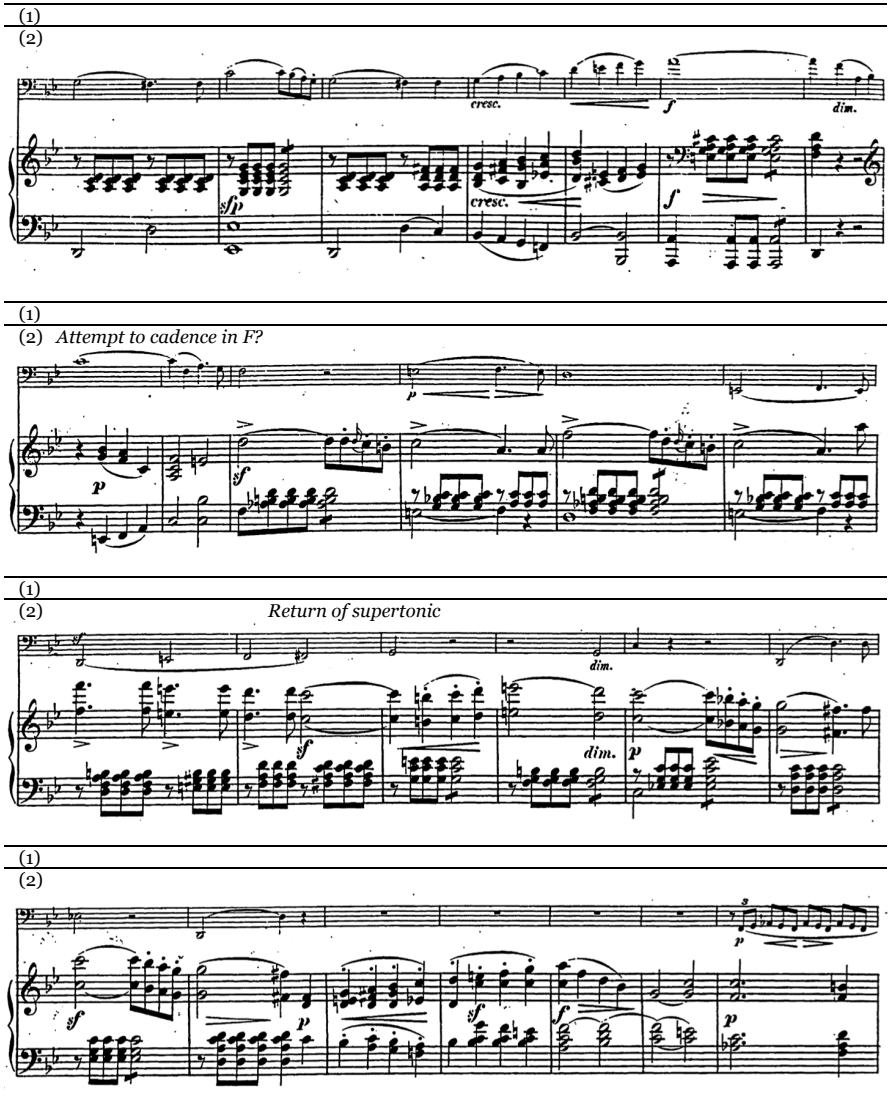
The finale of Op. 87 does not feature any noticeable cadence between the two thematic spaces. The transition's concluding harmony features the beginnings of a cadential-$^{6}_{4}$, but the tonic 'resolution' occurs after the onset of the subordinate theme, which would therefore dovetail the two spaces. This motion does not seem overtly cadential, however, and this movement may therefore not feature a medial cadence. Certainly, if the MC is supposed to represent a break or change in the material, then no such event occurs.

According to Sonata Theoretical principles, each of these examples would be considered a continuous exposition in the absence of a medial caesura, but I follow the Caplinian form-functional perspective that 'acknowledges the medial caesura as an important characteristic of how many transitions reach their culmination, but it does not see the device as a pre-requisite for subordinate-theme function.'[227] Thus, each movement has been analysed as if a subordinate-theme group can be present despite a failure to produce the cadence which would otherwise distinguish a continuous exposition from a two-part one.[228]

[227] William E. Caplin, *Analyzing Classical Form*, 310.
[228] Notwithstanding any examples in which subsequent subordinate-theme material is in fact not present, such as Op. 49/iii.

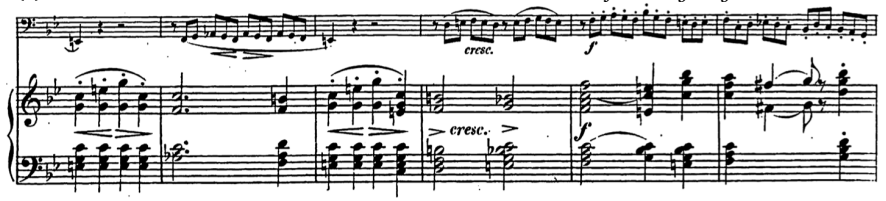
Example 3.3.1/10: Cello Sonata No. 1, Op. 45/i MC, S, EEC





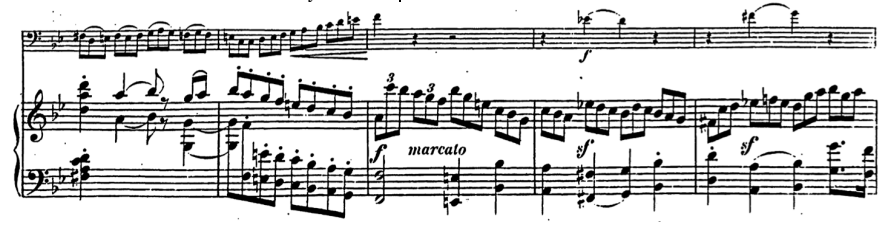
(1)

(2) *F major emerges again*

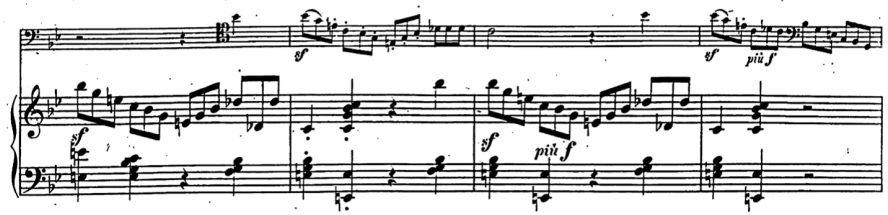


(1) Closing Section

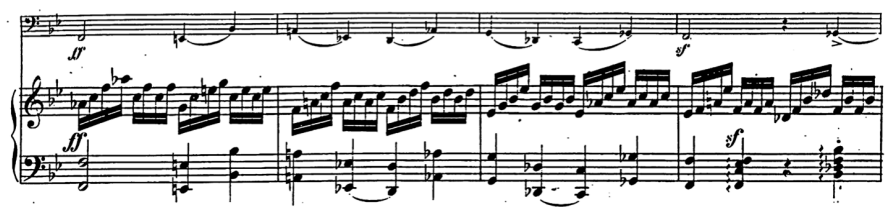
(2) Dominant secured non-cadentially



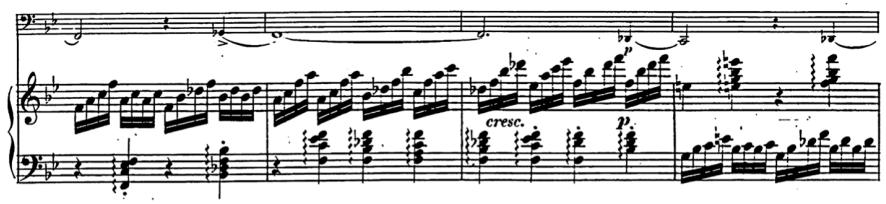
(1)



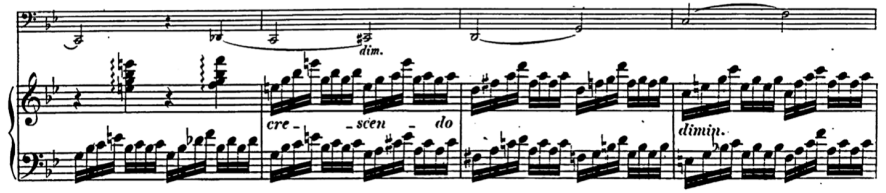
(1)



(1)

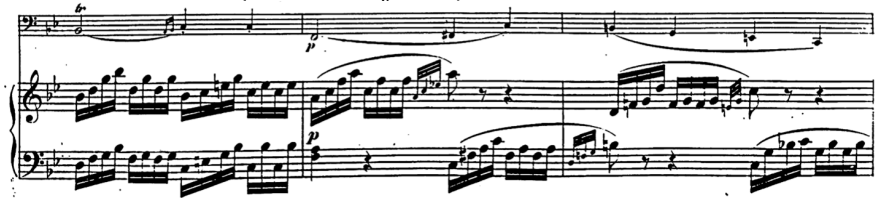


(1)



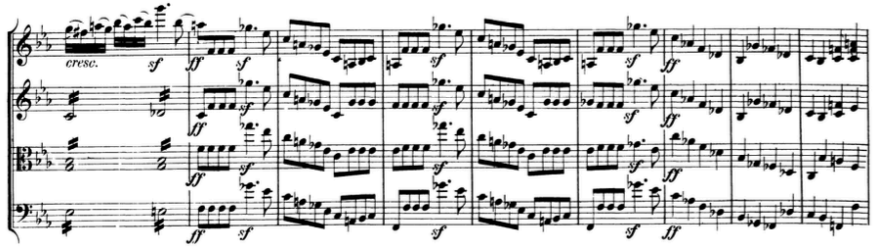
(1) V:PAC EEC

(*EEC Post-Closing Section)*



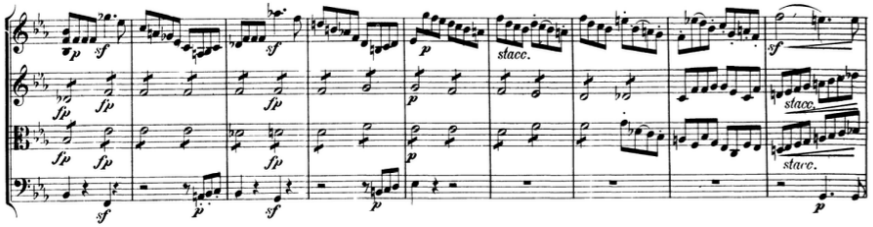
Example 3.3.1/11: String Quartet No. 5, Op. 44 No. 3/iv MC, S, EEC

(1) *...Transition*



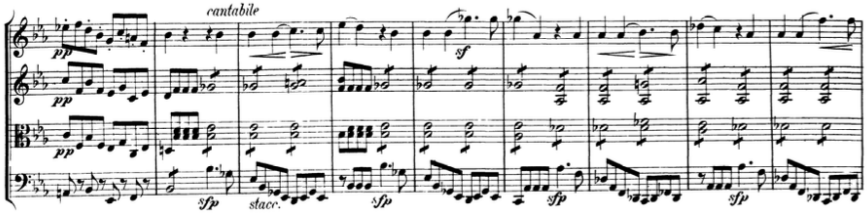
(1) v:PAC MC | Subordinate Theme

(2) Periodic Presentation (Antecedent)



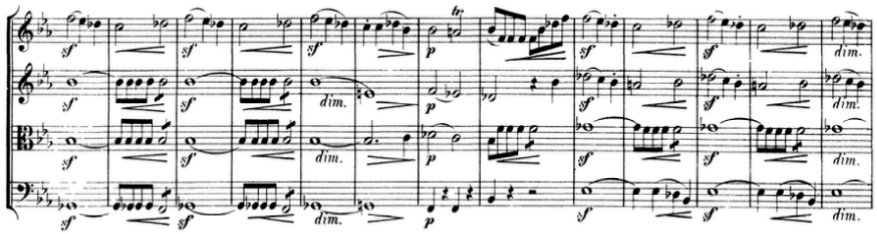
(1)

(2) B-flat major PAC | (Consequent)



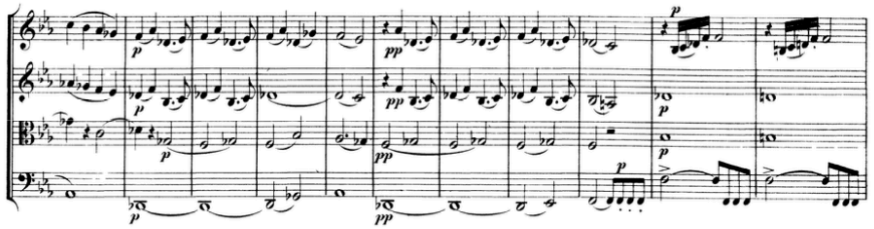
(1)

(2) B-flat minor PAC | Continuation



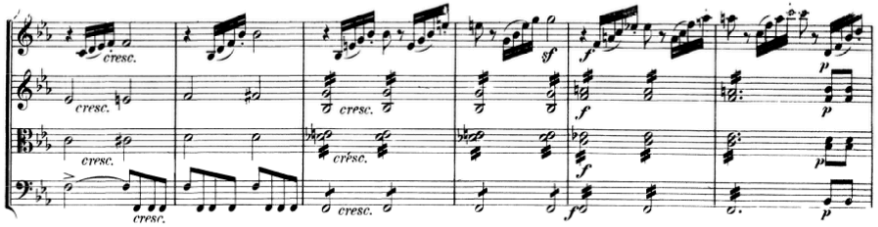
(1)

(2) *Tonicising D-flat major?* | Rhetorical change / F pedal

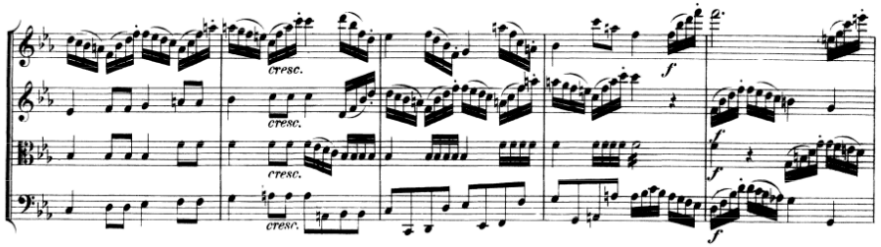


(1) | MT-material

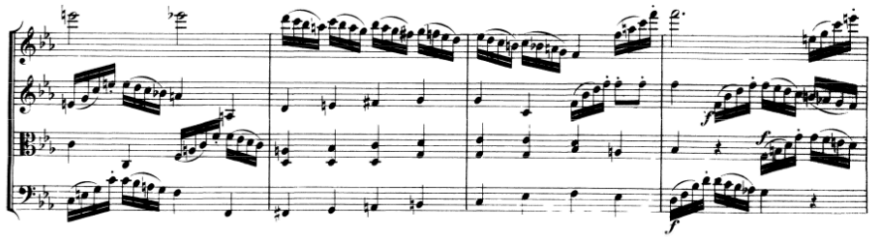
(2)



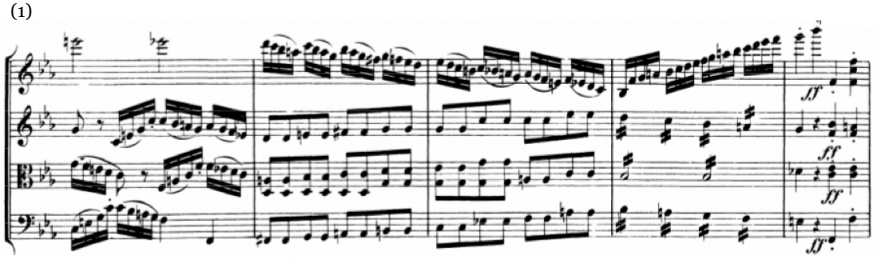
(1) now functioning as Closing Section (B-flat major)



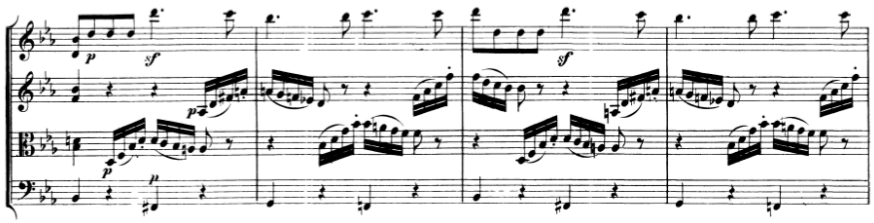
(1)



(1)

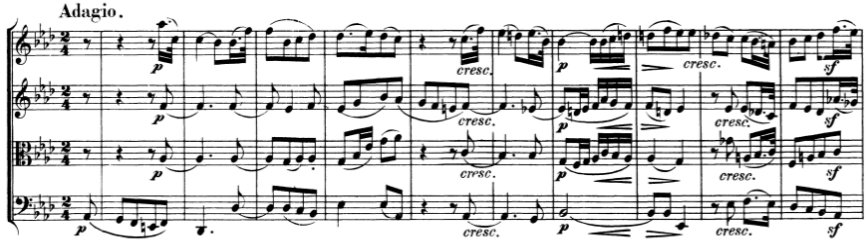


(1) EEC | Codetta ...

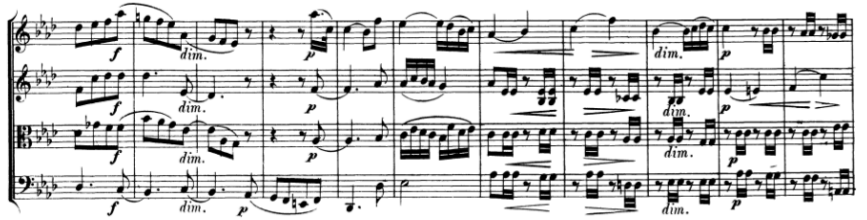


Example 3.3.1/12: String Quartet No. 6, Op. 80/iii MT, MC, S

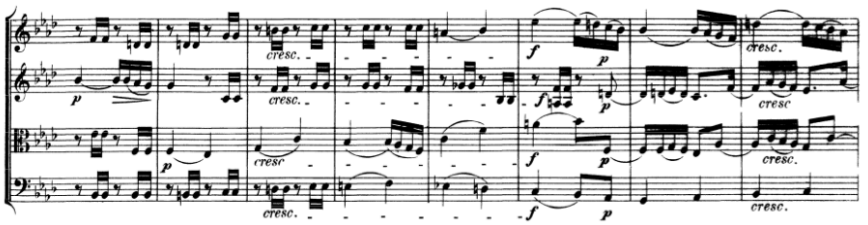
(1) Main Theme (A-flat major)



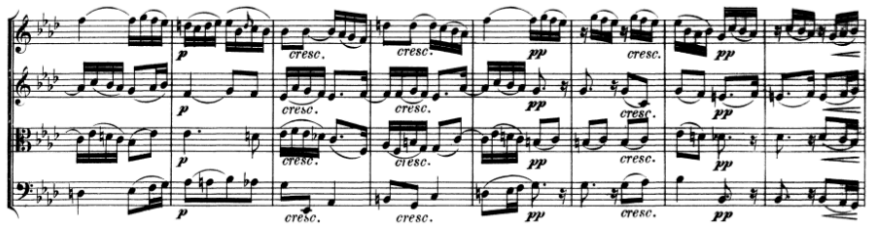
(1) I:PAC (MT cadence)



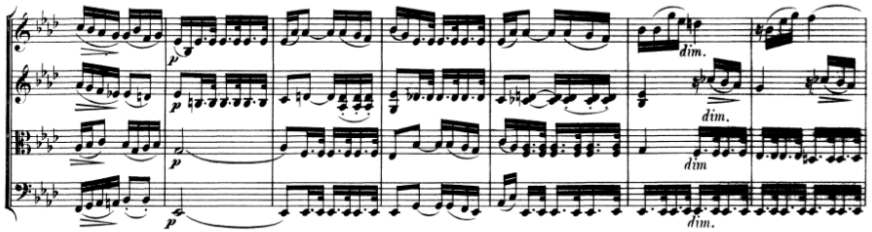
(1) *Transition* *No MC* | Subordinate theme



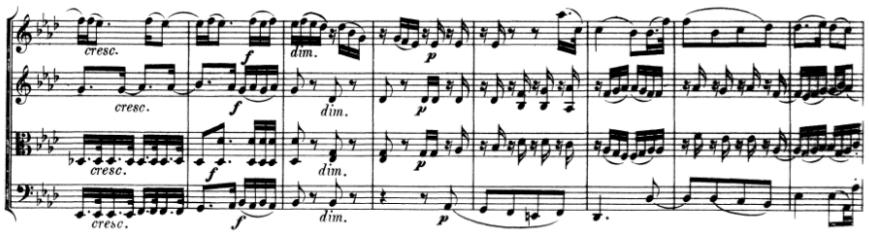
(1)



(1) V:PAC EEC | Closing section



(1) | Recapitulation ....



3.3.2: Public Works

Table 3.3.2/1: Public Works Medial Caesura Results

1st-level default		
	Major-mode: V:HC MC	Symphony No. 4/i Symphony No. 2/i Symphony No. 3/ii
	Minor-mode: III:HC MC	Symphony No. 3/iv
	Minor-mode: v:HC MC	*Die erste Walpurgisnacht* Symphony No. 4/ii Symphony No. 3/i *Athalie*
	Variations on 1st-level default	*Trompeten-Ouvertüre* *Ouvertüre zum Sommernachtstraum* *Meeresstille und glückliche Fahrt* *Ruy Blas*
2nd-level default		
	Major-mode: I:HC MC	-
	Minor-mode: i:HC MC	*Die Hebriden*
3rd-level default		
	Major-mode: V:PAC MC	Symphony No. 5/i
	Minor-mode: III:PAC MC	-
	Minor-mode: v:PAC MC	-
	Variations on 3rd-level default	*Die Heimkehr aus der Fremde*
4th-level default		
	Major-mode: I:PAC/I:IAC MC	-
	Minor-mode: i:PAC MC	-
Double Medial Caesura		*Die Hochzeit des Camacho*
Other category		-
No Medial Caesura		Symphony No. 5/iv *Ouvertüre zum Märchen von der schönen Melusine*

By comparison with the chamber works, medial caesura cadences in the public works are much more uniform, displaying a sense of cadential 'normativity' rarely observed in such quantities in any of the other structural cadences. In particular, Sonata Theory's first-level defaults are evidenced considerably, with eight examples. Moreover, there are a further four movements which closely align with one of the first-level defaults, but their presentation is slightly altered, and they are therefore classified as a first-level default variant. The remaining six movements are dispersed: one movement exemplifies the minor-mode second-level default, one movement exemplifies the major-mode third-level default, one movement features a variation of the third-level default, one movement features a double medial caesura, while the remaining two movements in the study do not feature an overt medial caesura cadence.

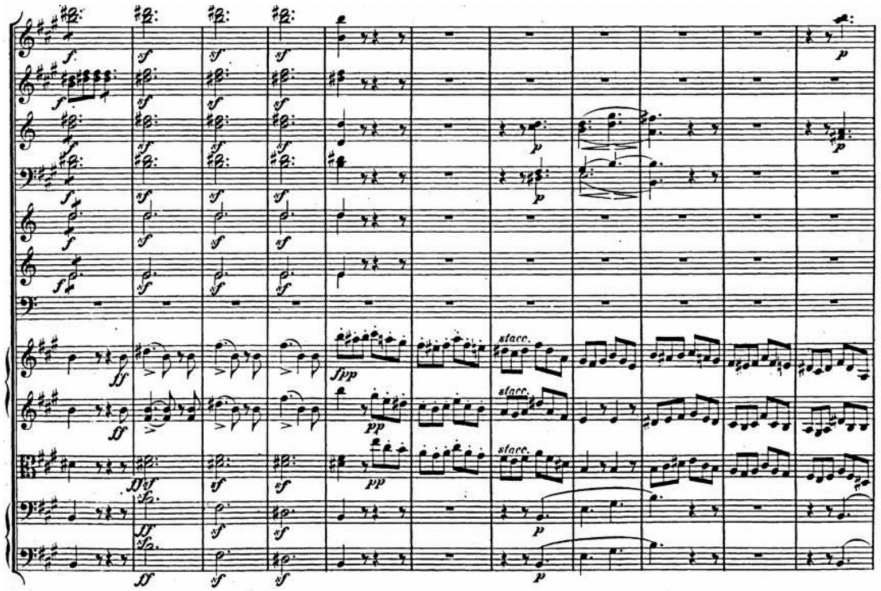
Within the eight examples of first-level defaults, three correspond with the major-mode V:HC MC option, one corresponds with the minor-mode III:HC MC, and four correspond with the minor-mode v:HC MC. The V:HC MC option is presented in Symphony No. 2/i, Symphony No. 3/ii, and Symphony No. 4/i. Following a dissolving main theme in Symphony No. 4/i (Example 3.3.2/1), the transition

produces the V:HC in measure 86. The cadence is repeated thereafter in measure 90, whereupon a large caesura-fill is initiated. The subordinate theme begins in the dominant in measure 110.

A brief caesura-fill is also observed in Symphony No. 3/ii (Example 3.3.2/2), with the V:HC MC placed five measures prior to the onset of subordinate-theme material. Symphony No. 2/i (Example 3.3.2/3) features a brief standing on V prior to the medial caesura (V:HC MC) in measure 78. The dominant pedal continues in the brief ensuing caesura-fill (measures 78-82), following which the subordinate theme enters. However, the theme sidesteps the dominant, and the antecedent proceeds in A-flat major, a particularly unusual choice in the context of B-flat major. F major is reasserted in measure 94, and the exposition concludes in F major, thereby allowing for correlation between the MC and EEC regardless of the initial tonal issues present in the theme.

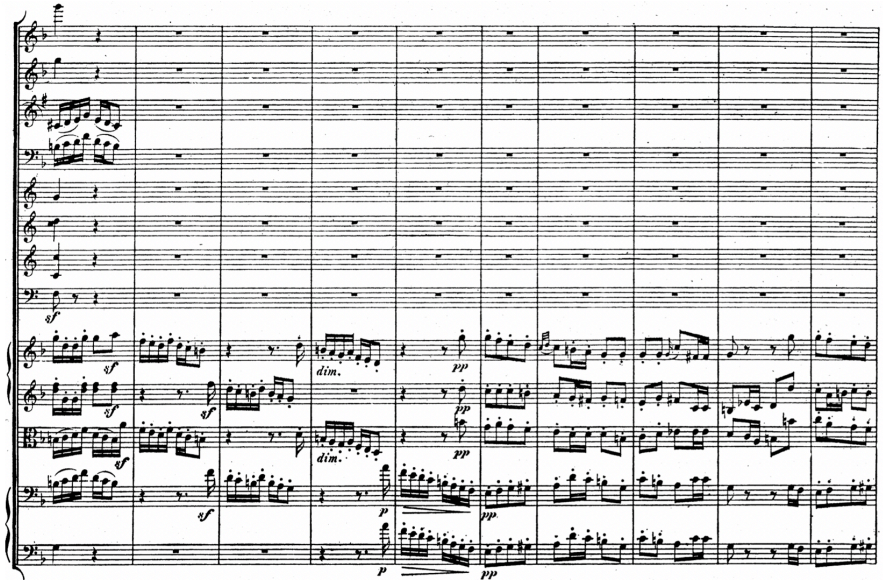
Example 3.3.2/1: Symphony No. 4/i MC

(1) V:HC MC MC-fill



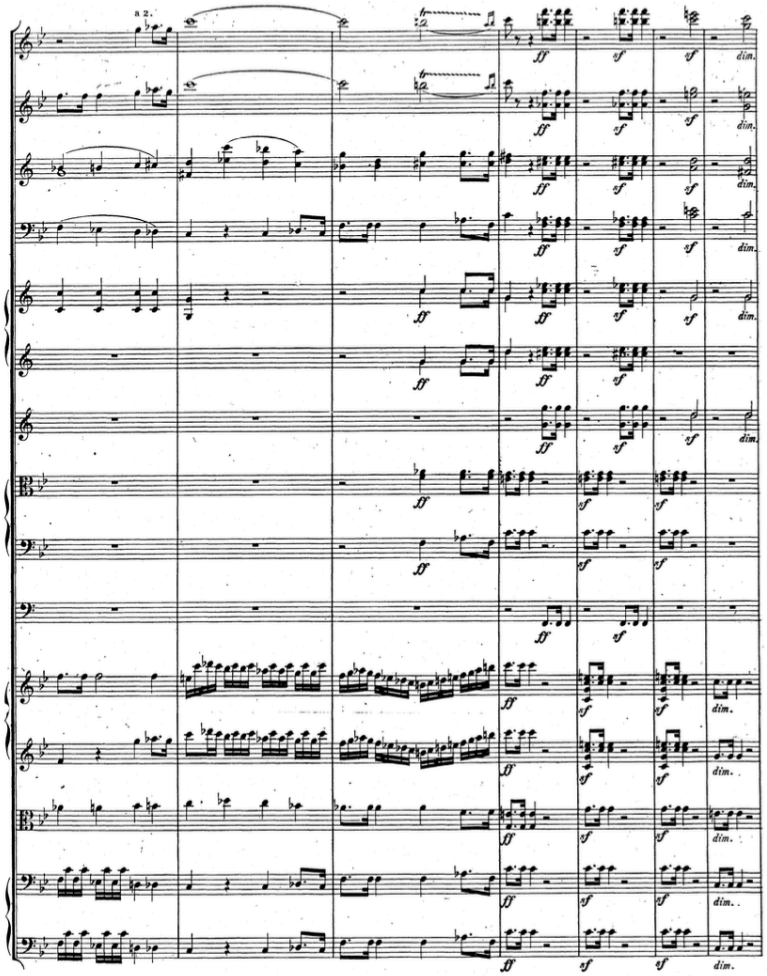
Example 3.3.2/2: Symphony No. 3/ii MC

(1) V:HC MC MC-fill Subordinate Theme

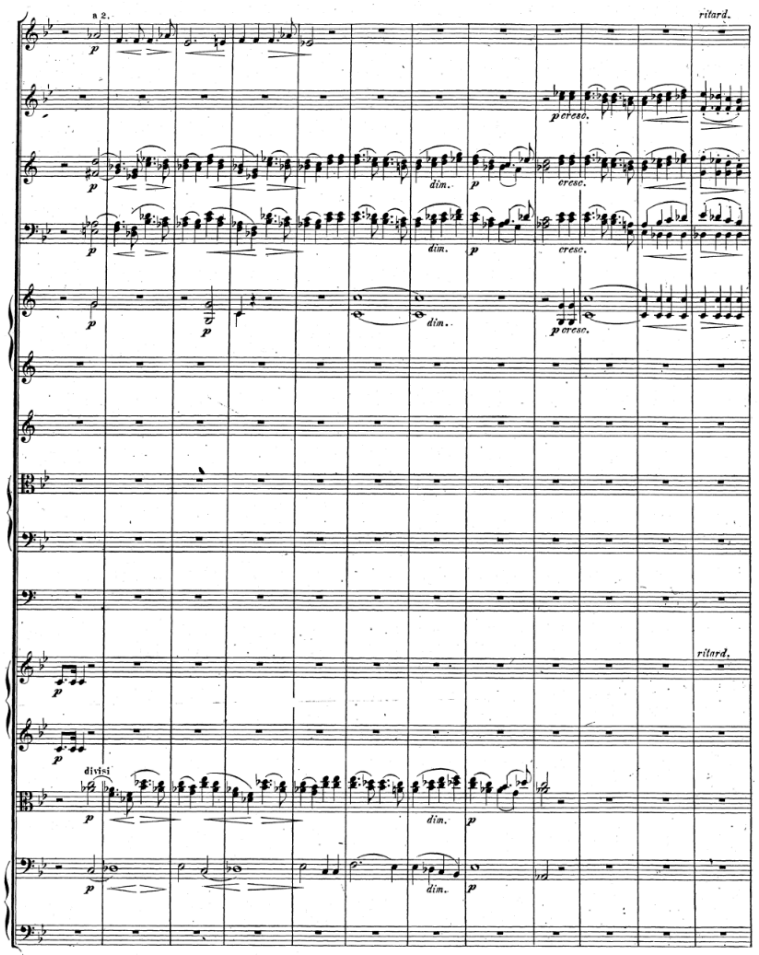


Example 3.3.2/3: Symphony No. 2/i MC

(1) V:HC MC



(1) Subordinate Theme (does not begin in dominant)



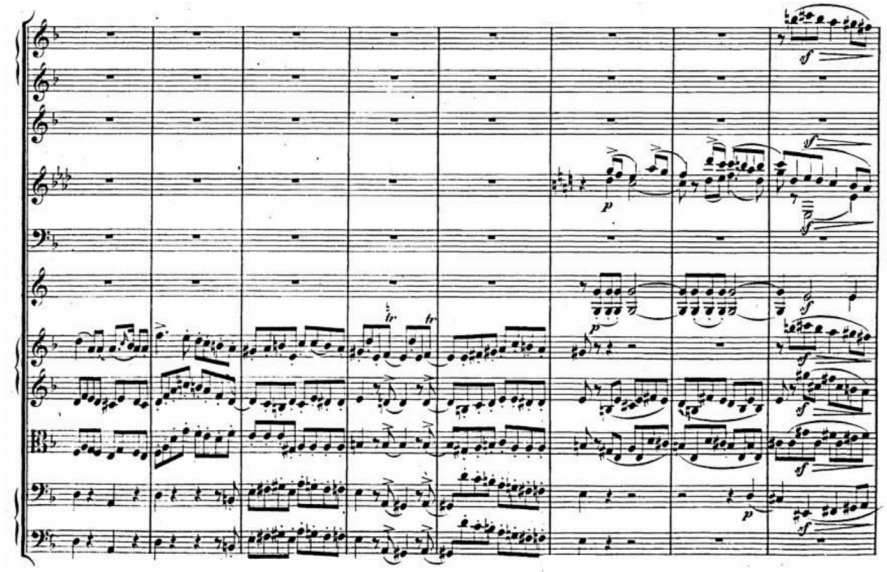
The v:HC MC option is located in four movements: Symphony No. 3/i, Symphony No. 4/ii, and in the overtures *Die erste Walpurgisnacht* and *Athalie*. The first, Symphony No. 3/i, produces an emphatic v:HC MC in measure 124. Symphony No. 4/ii on the other hand (Example 3.3.2/4) features a transition leading to a v:HC MC, offering modulation to the minor dominant for the subordinate-theme space, but the theme initially proceeds in A major (V). The subordinate theme ultimately fails to cadence in A major, and the exposition yields to the recapitulation (in the context of a sonata without development). The recapitulation is unusual for the fact that the relatively brief main-theme section is asserted in the minor dominant (A minor), therefore presenting the only material to correlate with the exposition's medial caesura (given that the recapitulation subsequently returns material in D major and D minor). *Athalie* features a similar disconnect between its medial caesura and the start of the subordinate-theme space. The transition culminates on the v:HC MC in measure 50, thereby suggesting a subordinate theme in A minor (v), but the subordinate theme's opening period features an antecedent articulated by a C major IAC. Thereafter, the consequent returns the material to the minor dominant, which is retained for the remainder of the exposition. *Die erste Walpurgisnacht* (Example 3.3.2/5) features a v:HC MC in measure 48, with a brief caesura-fill (two measures). The material in the violin (the oscillating pattern), which is initiated at the point of the medial caesura, carries over into the subordinate-theme space, and therefore elides the two functions.

The finale of Symphony No. 3 culminates initially on a first-inversion III:HC in measure 62, which is repeated more emphatically in root position in measure 66, representative of the III:HC MC. Nonetheless, the ensuing subordinate theme circumvents the relative major, in favour of the dominant minor. The subordinate theme (considered in more detail in section 3.4.2) grapples with both C major and E minor before the exposition ultimately closes in III (post-closing section), thereby producing an alignment between the MC and EEC.

Four movements convey a variation on one of these first-level defaults: *Ouvertüre zum Sommernachtstraum, Meeresstille und glückliche Fahrt*, the *Trompeten-Ouvertüre*, and *Ruy Blas*. The first three of these vary the major-mode V:HC MC. In the case of *Ouvertüre zum Sommernachtstraum*, a seemingly normative V:HC MC is presented in measure 122, but despite the fact that the medial caesura corresponds with the ultimate modality of the piece (E major), it presents a disconnect with the preceding main-theme material, which tonicises E minor. *Meeresstille und glückliche Fahrt* (Example 3.3.2/6) and the *Trompeten-Ouvertüre* are both presented in inversion: V^6_5/V in the case of the former, and V^4_2/V in the case of the latter. *Ruy Blas*, on the other hand, varies the III:HC MC (Example 3.3.2/7). The transition initially produces a cadential-$^6_4$ in G minor, but three measures later this is converted to a III:HC MC, albeit in first-inversion, which prepares the E-flat major (III) subordinate theme.

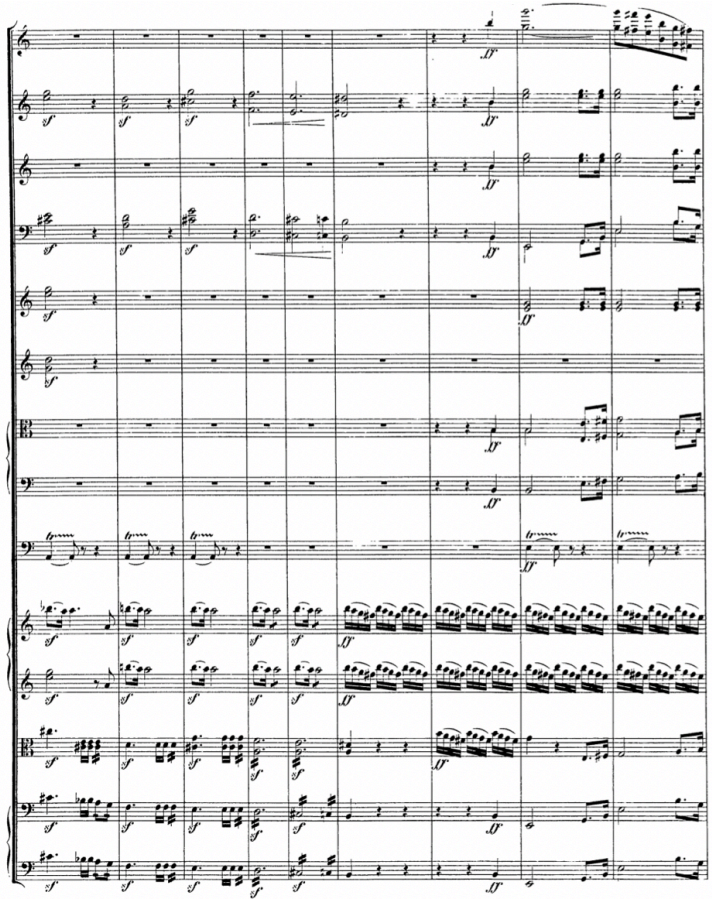
Example 3.3.2/4: Symphony No. 4/ii MC

(1) v:HC MC Subordinate Theme begins in V



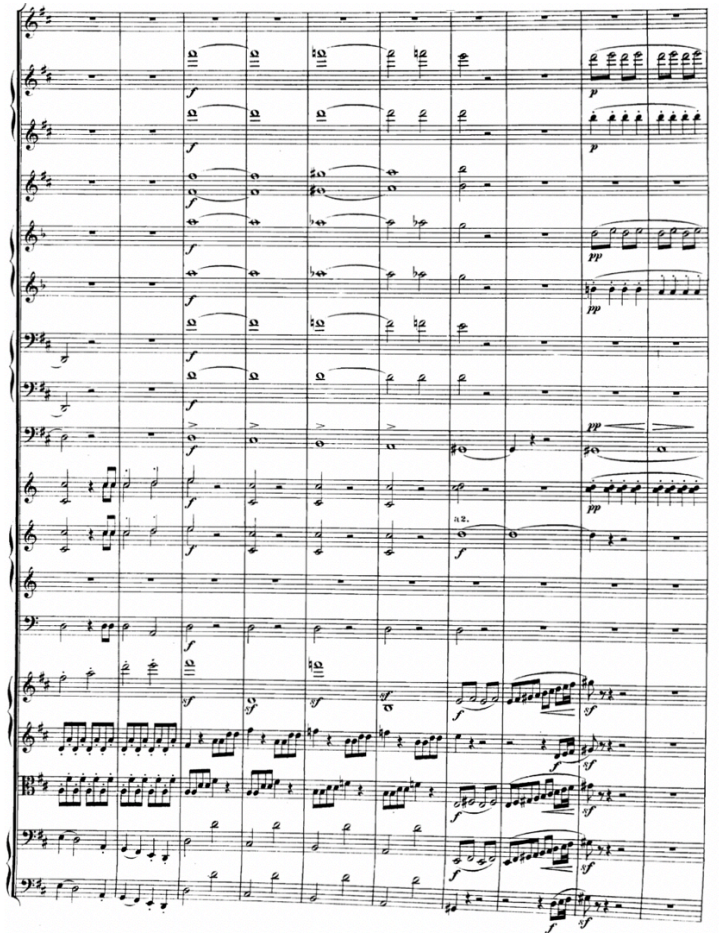
Example 3.3.2/5: *Die erste Walpurgisnacht* MC

(1) v:HC MC *Oscillating figure from fills continues into S*



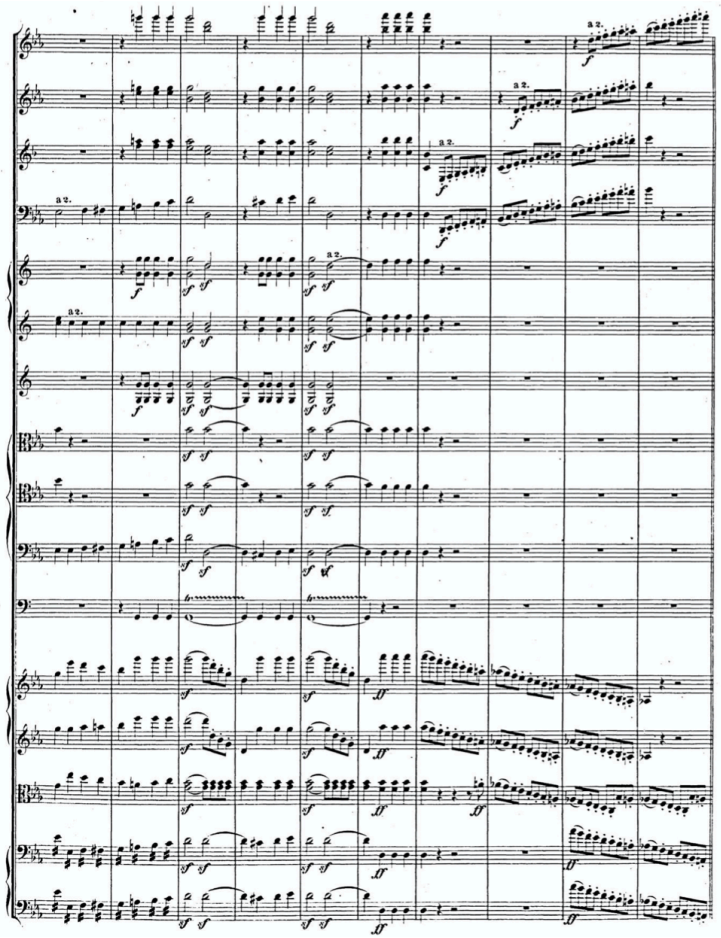
Example 3.3.2/6: *Meeresstille und glückliche Fahrt* MC

(1) V^6_5/V MC MC-fill



Example 3.3.2/7: *Ruy Blas* MC

(1) V^6_5/III MC



Die Hebriden is the sole example of a second-level default: the transition features a i:HC MC in measure 43 (following the MC-effect arrival on V in measure 39).[229] The duty of securing the modulation is transferred to the brief caesura-fill, measures 43-46, which moves from V/III to III thereby initiating a subordinate theme in the relative major. Third-level defaults are also only exemplified in one movement: Symphony No. 5/i. The transition culminates on a v:PAC, but the ensuing subordinate-theme space soon produces a mode switch, and sets off in the dominant major. The minor mode is nonetheless restored in advance of the EEC, thereby producing a correlation between MC and EEC spaces. *Die Heimkehr aus der Fremde* features a weak V:HC in measure 110, but the more definitive rhetorical conclusion occurs in measure 119, where the transition culminates on the dominant. There are several issues with this cadence, however: the preceding dominant (V/V) at the end of measure 118 is in inversion, problematising a cadential reading, and the concluding tonic features $\hat{3}$, which would result in an IAC, if cadential designation is allowed. This therefore presents a variant of the major-mode third-level default. Moreover, the material directly following the medial caesura is initially suggestive of a caesura-fill event. However, the retrieval of measures 119-126 in measures 127-134 suggests intrathematic functions, further reiterated by the dominant IACs in measures 127 and 135. Thus, the preliminary caesura-fill material is reconsidered as ST1.

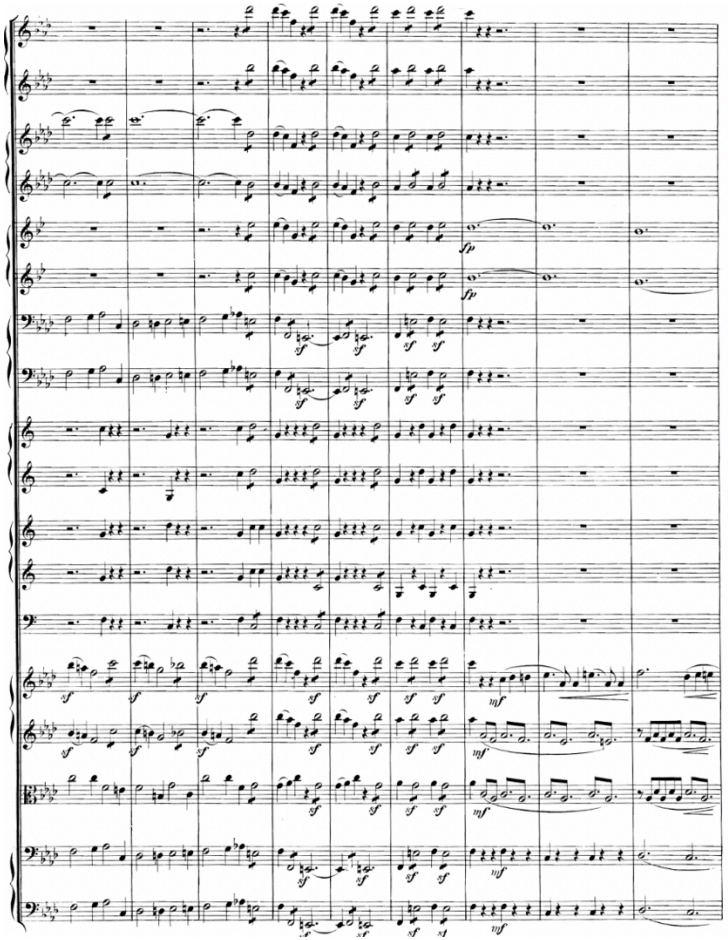
Die Hochzeit des Camacho presents a series of V:HC events in its transition, first in measure 40 and followed quickly thereafter in measure 44. A further cadential event arrives in measure 48, which initiates a standing on the dominant. The 'cadence' in measure 52 is only implied because of the bass pedal, but, following another brief caesura-fill, the transition culminates on an elided V:PAC in measure 58. Therefore, the transition produces a double medial caesura frame during which the dominant is repeatedly reinforced.

The final two movements in the case study do not feature a medial caesura cadence. In the case of *Die schöne Melusine* (Example 3.3.2/8) the transition concludes with the tonic, but it is not clear that the progression substantiates a i:PAC reading. In a similar manner, the transition of Symphony No. 5/iv (Example 3.3.2/9) concludes in the dominant (A major), but the V-I motion is only intimated, and the transition appears to descend onto A major, rather than arrive there cadentially (which recalls the type of closure provided by the main theme, wherein a scalic passage and rhetorical factors assert closure, rather than harmonic motion).

[229] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 27.

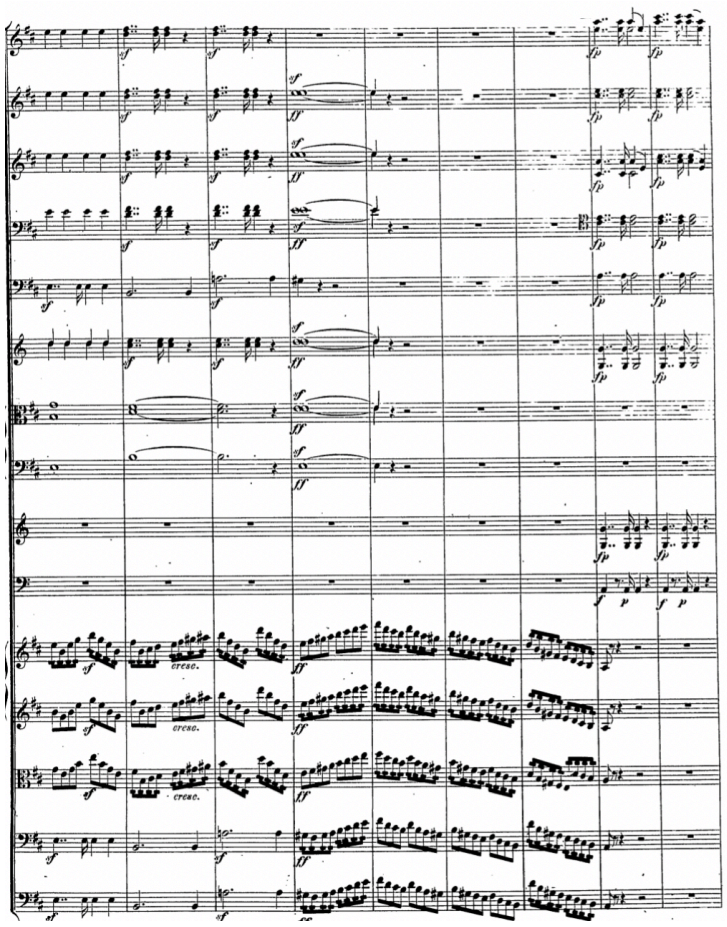
Example 3.3.2/8: *Die schöne Melusine* MC

(1) Motion to tonic – *non-cadential*



Example 3.3.2/9: Symphony No. 5/iv MC

(1) Motion to dominant – *non-cadential*



3.4: Subordinate-Theme Cadences, Closing Sections, and the EEC

3.4.1: Private works

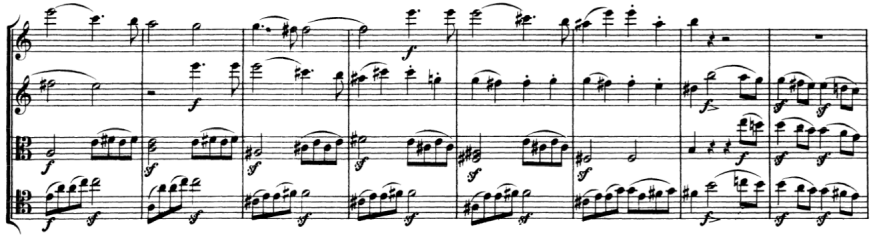
The majority of the movements in the combined private works case study are classified under one of the *S-Closure Category 1* labels, in which the subordinate theme features a structural cadence in advance of the closing section (Table 3.4.1/1). This represents six string quartet movements, and fourteen 'other chamber works' movements, a combined total of twenty. Therein, however, only sixteen produce a cadence that corresponds with the theme's overall tonality. Thirteen of these produce a strong PAC in the subordinate theme key, *S-Closure Category 1.a*, while three feature the IAC option, *S-Closure Category 1.c* (there are in fact no *S-Closure Category 1.b* movements). Four movements include a structural cadence at the end of the subordinate theme, but either the cadence does not correspond with the overall tonality of the theme itself, or there are tonal issues inherent to the theme that put the structural cadence at odds with the preceding material. These movements are categorised as *S-Closure Category 1.d*. A further eight movements do not feature a cadence at the end of the subordinate theme; instead, the material proceeds directly to the closing section and the structural cadence is deferred to the conclusion of the closing zone: *S-Closure Category 2* (C pre-EEC). Nine movements do not produce any form of EEC, either at the end of the subordinate theme or the closing section: *S-Closure Category 3* (no EEC). Finally, there is one example in which the movement is in dialogue with several categorisations, and is thus grouped under the title of 'Multiple Possible Categorisations'.

Table 3.4.1/1: Private Works Subordinate-Theme Closure Results

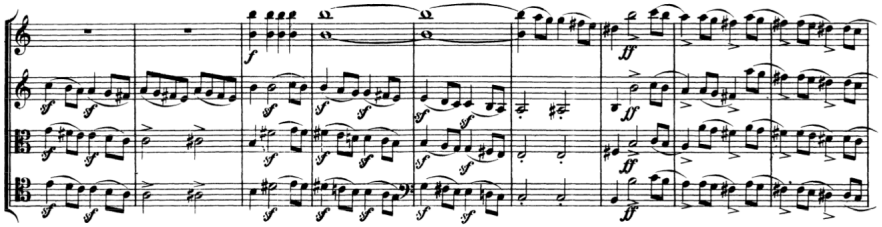
S-Closure Category 1		
	Type 1.a	Piano Quartet No. 3 Op. 3/i
		Piano Quartet No. 3, Op. 3/ii
		Octet, Op. 20/i
		String Quartet No. 2, Op. 13/i
		String Quartet No. 2, Op. 13/iv
		String Quartet No. 5, Op. 44 No. 3/i
		String Quartet No. 5, Op. 44 No. 3/ii
		String Quartet No. 3, Op. 44 No. 1/iii
		Piano Trio No. 1, Op. 49/i
		Piano Trio No. 1, Op. 49/iii
		String Quartet No. 6, Op. 80/iii
		String Quintet No. 2, Op. 87/ii
		String Quintet No. 2, Op. 87/iv
	Type 1.c	Octet, Op. 20/iv
		Piano Trio No. 1, Op. 49/iv *(EEC however is Cat. 2)*
		Cello Sonata No. 2, Op. 58/i *(EEC however is Cat. 2)*
	Type 1.d	Piano Quartet No. 3, Op. 3/iv
		Octet, Op. 20/ii
		String Quintet No. 2, Op. 87/i
		String Quintet No. 2, Op. 87/iii
S-Closure Category 2		
		String Quintet No. 1, Op. 18/i
		String Quintet No. 1, Op. 18/iv
		String Quartet No. 1, Op. 12/i
		String Quartet No. 1, Op. 12/iv
		String Quartet No. 5, Op. 44 No. 3/iv
		String Quartet No. 3, Op. 44 No. 1/iv
		Cello Sonata No. 1, Op. 45/i
		Cello Sonata No. 2, Op. 58/iv
S-Closure Category 3		
		String Quartet No. 4. Op. 44 No. 2/i
		String Quartet No. 4, Op. 44 No. 2/ii
		String Quartet No. 4, Op. 44 No. 2/iv
		String Quartet No. 3, Op. 44 No. 1/i
		Octet, Op. 20/iii
		Cello Sonata No. 1, Op. 45/iii
		Piano Trio No. 2, Op. 66/iv
		String Quartet No. 6, Op. 80/i
		String Quartet No. 6, Op. 80/iv
Multiple Possible Categorisations		
		Piano Trio No. 2, Op. 66/i

Example 3.4.1/1: String Quartet No. 2, Op. 13/iv MC, S, EEC

(1) ...*Transition*

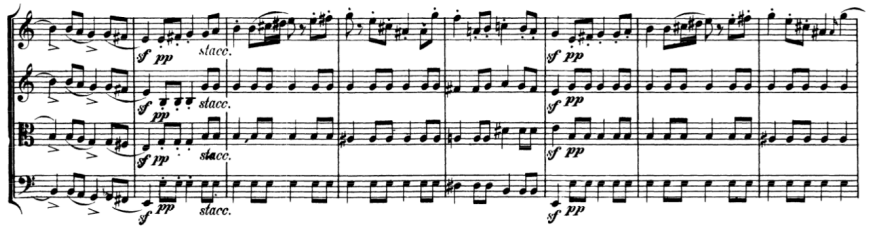


(1) V:HC MC *Caesura-fill*



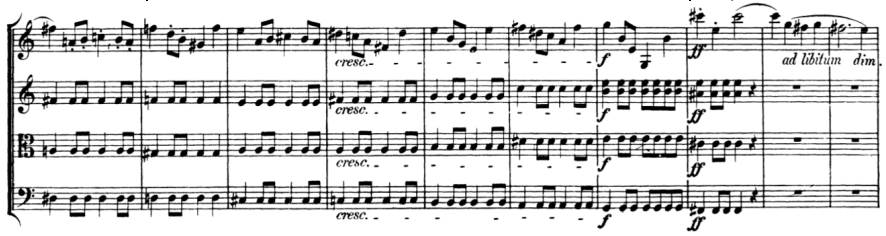
(1) Subordinate Theme

(2) Presentation (Statement + Literal Repeat)

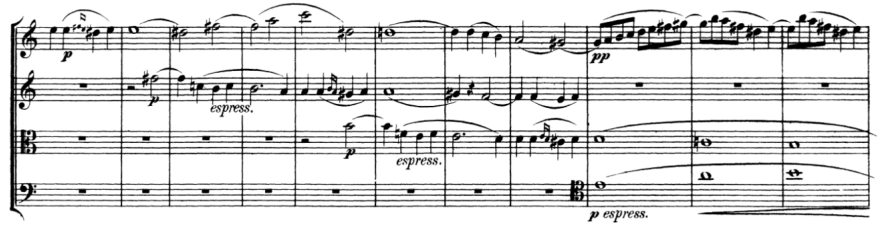


(1) Recitative Int.

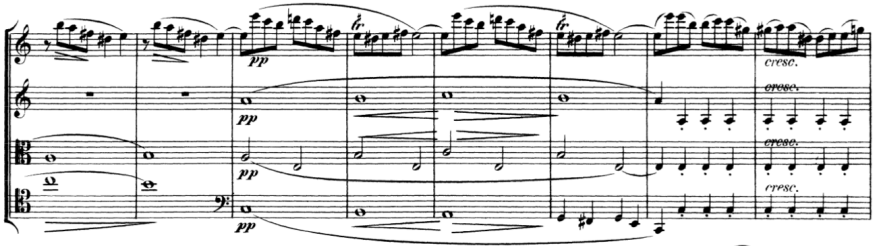
(2) Continuation e:V/V



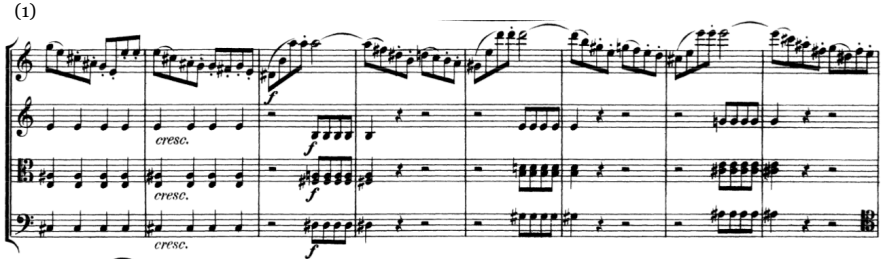
(1)



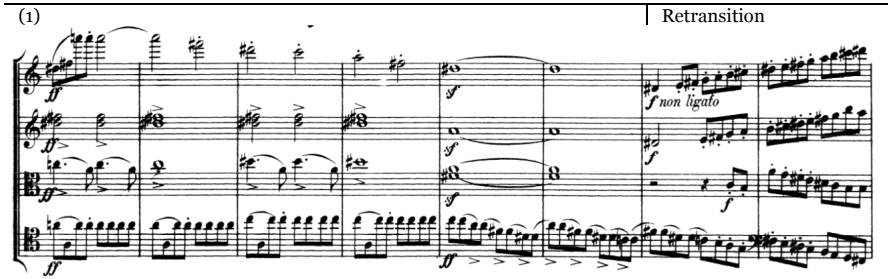
(1)



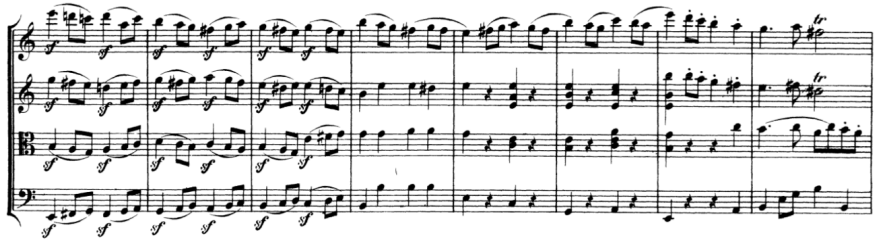
(1)



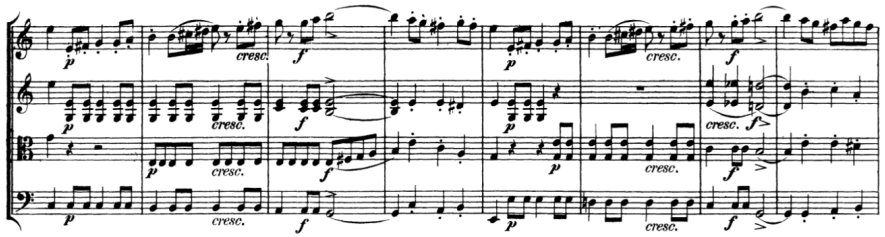
(1) | Retransition



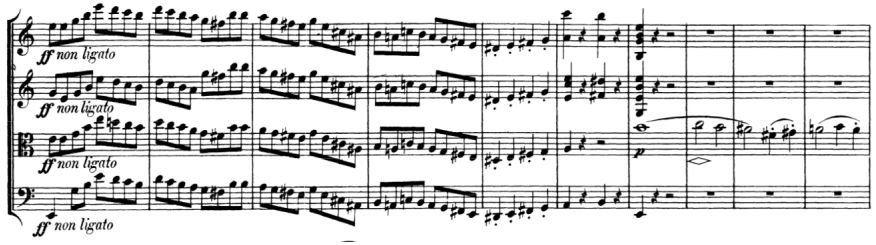
(1) S-Recovery | PAC/EEC | Closing Section (Pt. 1 – S contin. material)



(1) Deceptive Cad. | (Pt. 2 – S statement material) | E minor PAC



(1) PAC ↔ | Codetta



There are six string quartet movements which correspond with *S-Closure Category 1.a* (strong PAC in the subordinate theme key): Op. 13/i, Op. 13/iv (Example 3.4.1/1), Op. 44 No. 3/i, Op. 44 No. 3/ii, Op. 44 No. 1/iii, and Op. 80/iii.

The first movement of Op. 13 features a subordinate theme that sets off (in measure 59) in the dominant (E minor), with a periodic syntax. The consequent is open-ended, and features a brief expansion (eight-measure antecedent, measures 59-67, ten-measure consequent, measures 67-76). Thereafter, the material introduces a continuation section which drives towards the PAC EEC in measure 85. A short closing section follows.

In the case of Op. 13/iv, the subordinate theme achieves the PAC despite a recitative interruption. The theme commences in measure 90 in the dominant (E minor), and features a sentential syntax, with a presentation (statement and repeat), and a continuation. The continuation is abruptly interrupted in measure 105, directly following an E minor V/V, with material taken from the movement's recitative introduction. The continuation function at this point was clearly heading for a cadential trajectory, meaning that the recitative acts not only as an interruption of S-space, but also as an interruption of the attempted cadential resolution. The subordinate theme is recovered in measure 142 (following a brief, two-measure retransition), and immediately leads to a v:PAC EEC on the downbeat of measure 146. The closing section ensues; part one is based on the theme's continuation material, with a deceptive cadence (V-vi) in measures 149-150, while the second part, between measures 150 and 158, cycles through two iterations of the theme's statement phrase. The first produces a PAC in measure 154, and the second culminates on a PAC in measure 158 elided with a short codetta. Although the material after the first PAC seems at first to be similar material, the remaining PACs are of limited scope embedded in a larger closing unit which originates after the S-recovery.

The subordinate theme in Op. 44 No. 3/i opens in measure 46 with a brief tonally-mobile section: a model-unit cadences in B-flat major (V), but the first sequence-unit cadences in D-flat major. The second sequence returns B-flat major, which is now retained for the remainder of the theme. The continuation (beginning in measure 59) leads to a series of cadential attempts, which eventually culminates in the PAC EEC in measure 92, with a closing section thereafter.

The analysis of the subordinate-theme group in Op. 44 No. 3/ii is complex. At first, the subordinate theme groups appears to emerge in measure 41, following a v:HC MC in measure 39. The theme takes some time to establish G minor, and is further complicated by a return of main-theme material only eight measures later. This may initially suggest a short subordinate theme, with main-theme retrieval acting as a means of securing the EEC. This first reading is problematised, however, by the return of the tonic (C minor), with a PAC in measure 72, thereby cancelling the modulation. The subsequent fugato material appears transitional, and leads to another subordinate-theme like group in measure 114.

The movement, therefore, seems to portray a series of 'becomings' and regressions. Measure 17 and measure 41 initially act as the commencement of the transition and subordinate theme respectively, but the latter is undone, and leads to more transition. The fugato material is therefore a second transition, securing the true subordinate theme (measure 114). The EEC takes place in measures 154-155, and is immediately followed by a short development, based on the initial failed subordinate-theme group. The complexities of the movement continue in the recapitulation, as demonstrated in section 3.5.1.

The third movement of Op. 44 No. 1 features a brief sentential subordinate theme in the movement's relative major (D major). The EEC cadence is located on the downbeat of measure 46 and is followed by a short four-measure closing section, which produces another D major PAC. The ensuing codetta is merged with the recapitulation's retransition, as this is a sonata form without development.

Op. 80's Adagio (Example 3.3.1/12) features a subordinate theme in measure 27, but no preceding medial caesura takes place. The theme produces a V:PAC EEC in measure 39, after which a short postcadential standing on the local tonic introduces the main theme. This movement is another example of the displaced development ambiguity, wherein the development takes place between the reprises of the main-theme (measure 49) and subordinate theme (measure 83).

The remaining seven *S-Closure Category 1.a* movements (from the original 'other chamber works' study) are found in Op. 3/i and ii, Op. 20/i, Op. 49/i and iii, and Op. 87/ii and iv. In the Op. 3 movements the tonality of the subordinate themes (D major and B major respectively) is supported by a concluding PAC in the same key (it should be noted that the second movement features a monothematic exposition).

Following several transition cadences, each of which tonicises a different tonal area (F-minor HC in measure 45, G-minor HC in measure 52, and B-flat major PAC in measure 68), the subordinate theme in Op. 20/i commences in B-flat major, with the final transition PAC elided to the downbeat of the theme. The theme commences with an eight-measure statement that tonicises B-flat major, but the response thereafter tonicises G major. The continuation section modulates back to B-flat major, and leads to the V:PAC EEC in measure 113. A short closing section follows the structural cadence. While some of the theme's material does modulate, this is nonetheless interior to the theme itself, and this movement therefore exemplifies *S-Closure Category 1.a*.

In the first movement of Op. 49, both S and the EEC support A major (the dominant), however immediately following the A major PAC, the closing section enters in A minor, thereby producing a three-key exposition. Moreover, the cadences at the end of the closing section (preceding the codetta) articulate A minor, and therefore do not correspond with either the MC or the EEC.

Op. 49/iii features an emphatic V:PAC EEC, but this movement is a continuous exposition and therefore contains no subordinate-theme group. The transition's cadence, the V:PAC in measure 28,

instead acts as the structural closure for the exposition. Measure 28 initiates a segment of syntax which may initially suggest a form of second theme, but this is a postcadential reinforcement of the PAC, as it contains neither initiation or continuation functions. This is repeated and expanded in measures 32-38. A form of closing material begins in measure 38, but by measure 47 it is clear that a rondo refrain is underway. One could argue that the cadence in measure 28 is initially a presumed medial caesura, but that in light of the subsequent postcadential nature of the ensuing material, and given that it is a PAC, it retrospectively acts as the EEC.

The subordinate theme in Op. 87/ii largely projects B-flat major (relative major to the global tonic, G minor), confirmed by a B-flat major PAC. Internally, there is however one tonal diversion away from this. Echoing the main theme, where the internal antecedent and consequent cadences tonicise several competing local tonics (G minor, F major, B-flat major), the subordinate theme's antecedent phrase commences in B-flat major (following the III:HC MC), but concludes with a G minor PAC. B-flat major is immediately restored by the consequent, driving towards the III:PAC EEC four measures later. There is a brief, two-measure cadential repeat, acting as a form of closing section/codetta, which leads to a retransition to the recapitulation (this movement does not include a development section). The final example, Op. 87/iv, features an F-major subordinate theme supported by a V:PAC EEC. The ensuing closing section initially directs towards a rondo refrain in measure 70, but the movement only feigns towards this rondo reading (rather than engaging with it fully), as this apparent refrain turns into development shortly thereafter.

The movements in *S-Closure Category 1.c* (Op. 20/iv, Op. 49/iv, and Op. 58/i,) are particularly prone to ambiguity over the demarcation of the EEC. In each of these movements the subordinate theme concludes with the weaker IAC option. There are two subcategories therein: those in which the IAC is the only structural cadence and this must therefore be the EEC; and, those in which a later PAC takes the place of the EEC, despite the subordinate theme achieving cadential closure.

The finale of Op. 20 features a monothematic exposition, with the subordinate theme based on the material of MT2. The theme commences in B-flat major, and features an initial PAC in measure 105, but a repeat ensues thereby delineating this as an internal cadence. The repeated material features an evaded cadence in measure 120 whereupon an extension occurs. This drives towards a B-flat major IAC in measure 133 (with $\hat{3}$ in the violin I). The material thereafter is initially suggestive of a closing section, but is later reconsidered as ST2 (closing section $\Rightarrow$ ST2). Therefore, the first section of material between measures 89 and 133 (based on MT2) represents ST1. The subordinate-theme zone ultimately concludes

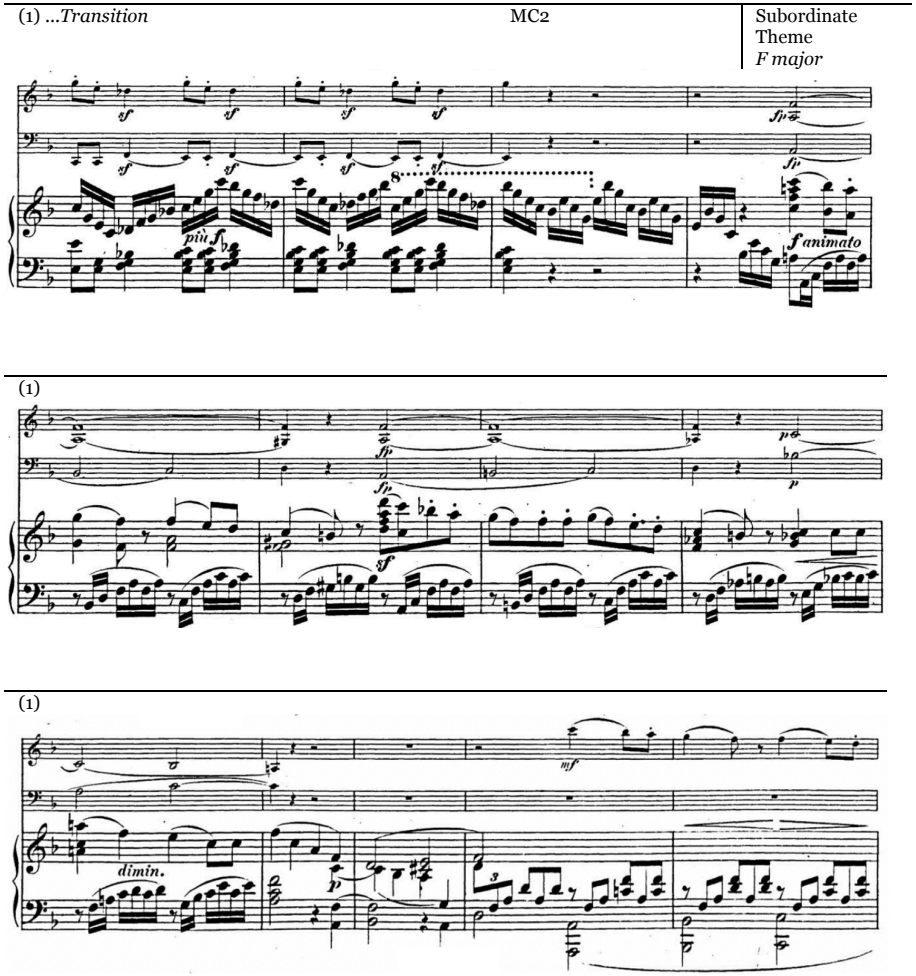
with a B-major IAC in measure 165 (this time with $\hat{5}$ in the soprano), the EEC, and a true closing zone follows.[230] As there is no further PAC, this represents the EEC.

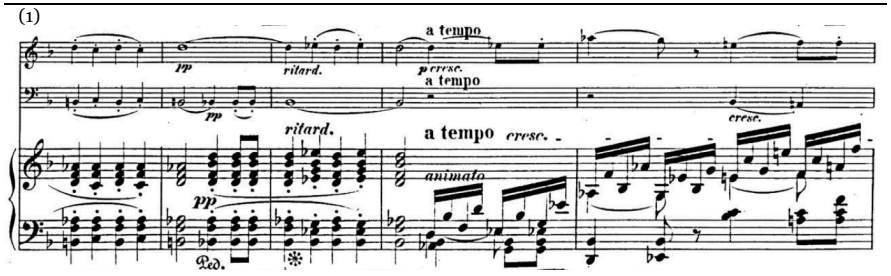
Op. 49/iv's subordinate theme (Example 3.4.1/2) is based in the relative major (F major), and produces an F-major IAC in measure 73. However, the closing section opens with a return of material from the main theme, which shades immediately into the minor mode. The closing section ultimately reasserts F major, and produces an F-major PAC in measure 103, repeated in measure 107 following a short four-measure codetta (the EEC). This therefore groups under the scenario in which the subordinate theme produces a cadence, but the structural PAC EEC is deferred to the end of the closing section.

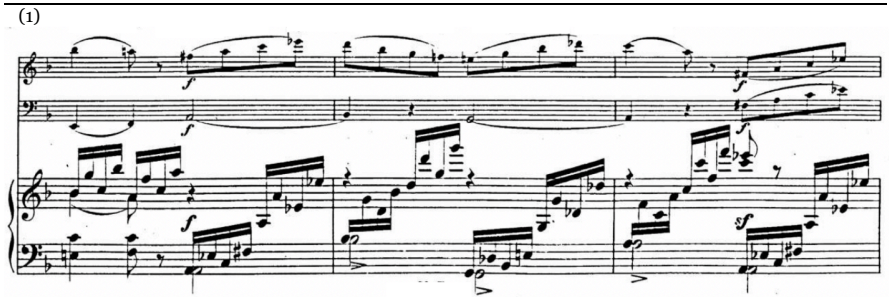
The situation is much the same in Op. 58/i. The subordinate theme concludes with a V:IAC in measure 106, and this cadence is further weakened because the chord of resolution also acts as a point of initiation for the closing section (based on main-theme retrieval). The closing section produces a much more emphatic V:PAC in measure 122, followed by a codetta. Op. 49/iv and Op. 58/i are thus a distinct subcategory of *S-Closure Category 1.c*, in that the subordinate themes are articulated by cadential closure, but these IACs do not represent the EEC given that a stronger PAC is present at the end of the closing section. Consequently, while the themes reflect this *1.c* category, they also have much in common with the movements in *S-Closure Category 2*, in so far as the EEC occurs post-closing section.

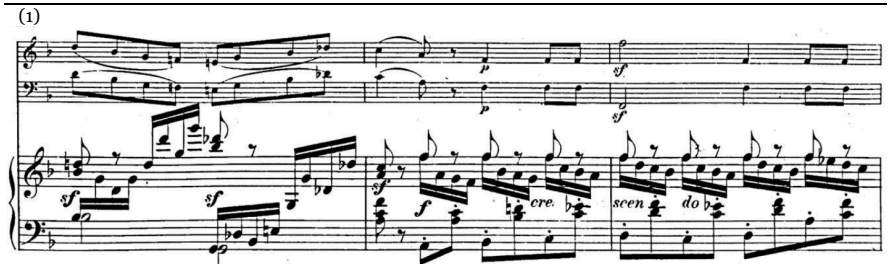
[230] Janet Schmalfeldt, *In the Process of Becoming*, 174-184.

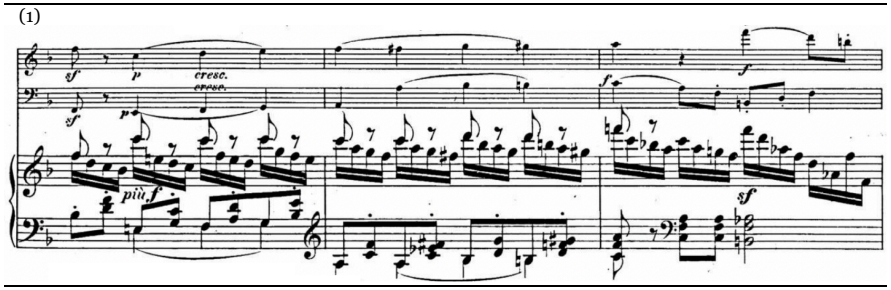
Example 3.4.1/2: Piano Trio No. 1, Op. 49/iv MC, S, EEC

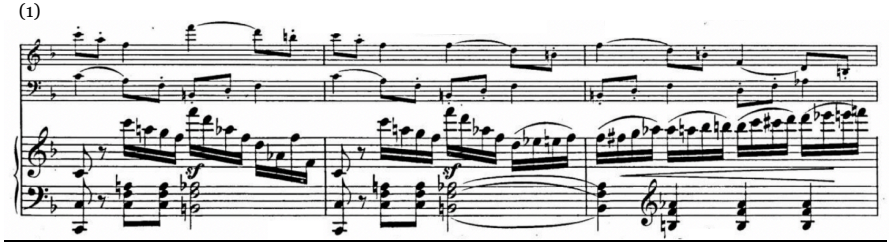


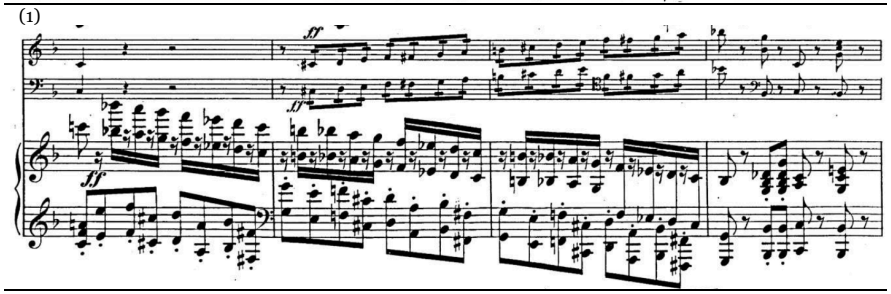




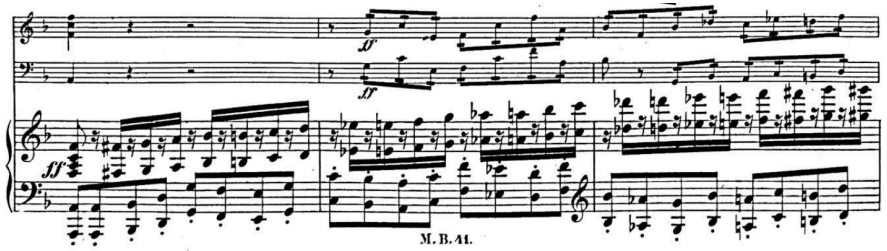




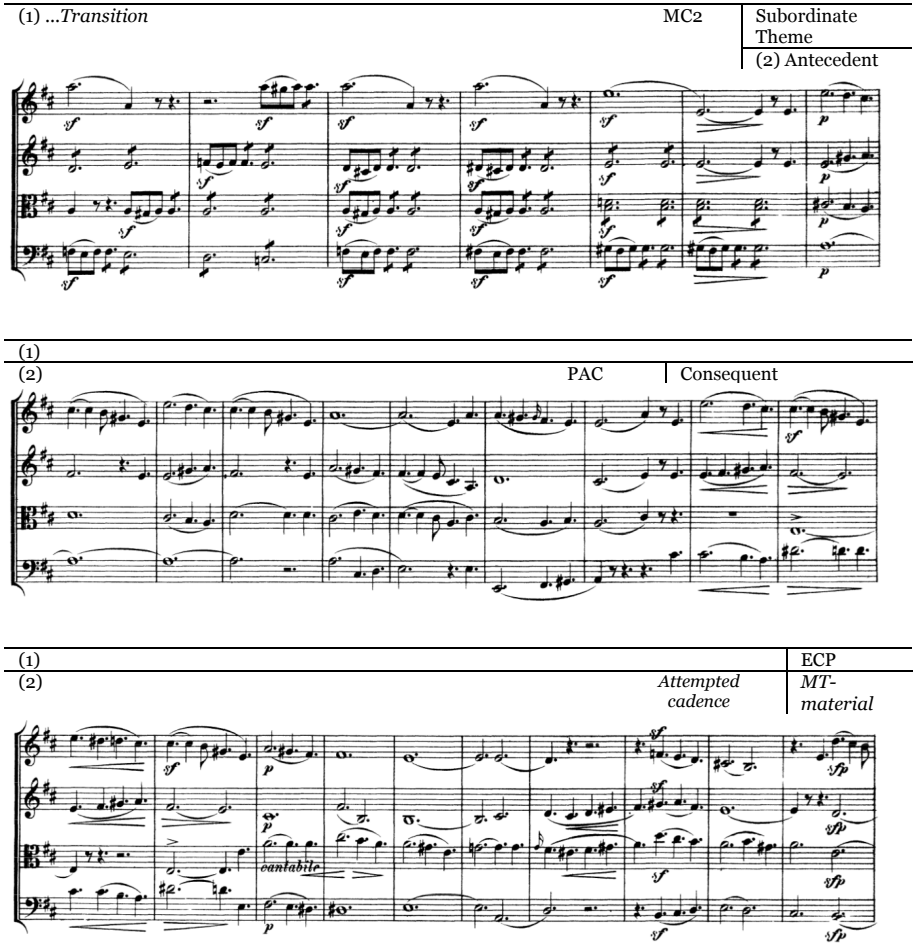




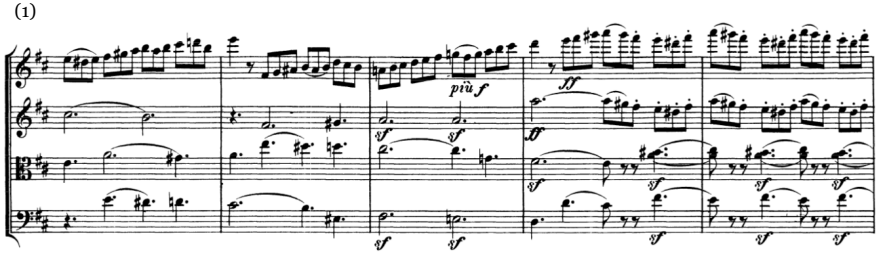
(1) F major Codetta ...
PAC EEC



Example 3.4.1/3: String Quartet No. 3, Op. 44 No. 1/iv MC, S, EEC

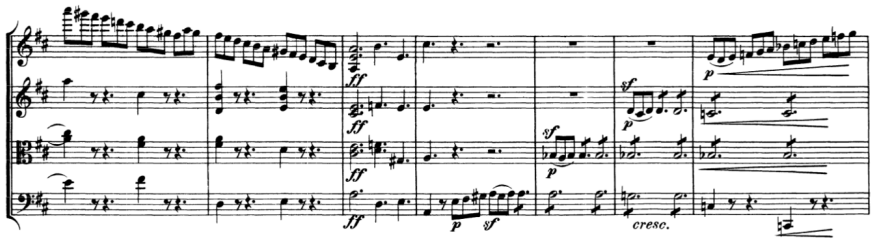


(1)



(1) PAC *(IAC)* | Development

↔



The fourth category, *S-Closure Category 1.d*, features subordinate themes in which the concluding cadence does not correspond with the tonality/mode of the majority of the theme's material. This does not manifest in the string quartets, but is found in four movements in the 'other chamber works': Op. 3/iv, Op. 20/ii, Op. 87/i, and Op. 87/iii.

The finale of Op. 3 is a relatively short example of this category. The medial caesura is a dominant half cadence (HC in F-sharp minor), and the opening ten measures of the subordinate theme[231] continue in the F-sharp minor tonality. However, thereafter the subordinate theme shifts to A major and several A major cadences ensue: two internal A major IACs are located at measures 55 and 77, and an A major PAC is located in measure 89. A closing section follows this PAC, thereby delineating the two earlier IACs as internal cadences, and the PAC as the EEC. Despite agreement between large portions of the theme and the A major EEC, there is dislocation between the EEC, and the MC and start of S. While the termination of Op. 3/iv's subordinate theme in A major seems like an unusual choice at first, A major is acting as the relative major of the dominant (in which the subordinate theme opens). This modulation does however problematise the return of material in the recapitulation, and the analysis of the ESC (explored further in section 3.5.1).

The circumstances in Op. 87/i are different: the medial caesura and the EEC correlate, but the intervening subordinate theme material cycles through various local tonicisations. The medial caesura opens the material in the dominant, with a V:HC (HC in F major), but almost immediately the antecedent moves away, with the basic idea set in C major (although this is not supported cadentially). The contrasting idea retrieves and secures F major (with a cadence in measure 61), but the subsequent consequent is significantly enlarged: it moves first to A major and C major, then back to F major over a pedal in measure 70, before passing through B-flat major, G minor, and D minor, until the return to F major in measures 89-90. The material now engages an ECP, which drives towards the PAC EEC in F major in measure 98. F major is confirmed by the ensuing closing section (which produces another V:PAC in measure 120), and a short codetta.

The remaining two examples feature issues of mode. The second movement of the Octet presents another dislocation between its medial caesura and EEC. In the context of a C minor global tonic, the medial caesura articulates the conventional modulation to the relative major (E-flat major), albeit the MC is presented as a slightly more unusual IAC variety. The theme's antecedent phrase also corresponds with the new tonality, and produces an E-flat major PAC in measure 46 (even though the violin II features $\hat{3}$, the concluding and initiating functions of the antecedent and consequent respectively are overlapped, and the majority of the internal instruments' material belongs to the consequent; thus, the cadence ends in

[231] This is an example of a partly monothematic exposition, where much of the opening section of the subordinate theme aligns with the MT2 material.

the violin I with $\hat{1}$). The consequent phrase, continuing initially in E-flat major, stalls on two deceptive cadences, in measures 54 and 55. While the ensuing material immediately produces a PAC, on the downbeat of measure 56, E-flat major is unexpectedly side-stepped in favour of E-flat minor, through the lowering of G to G♭. Thus, the EEC is an unexpected E-flat minor PAC, which presents a modal mismatch between the MC, S, and the EEC.

The final example in *S-Closure Category 1.d* is the third movement of Op. 87 (Example 3.3.1/5). Both the medial caesura and the subordinate theme cadence support the dominant minor (v:HC MC and v:IAC EEC), but the subordinate theme is based almost entirely in A major. The modal switch to A minor occurs only on the concluding tonic. The ensuing material (from measure 39) has a double function: it initially acts as a type of closing section, but in the absence of a true development its function 'becomes' that of a retransition, with the recapitulation emerging shortly after in measure 53.[232] Additionally, given that there is no later PAC candidate, the v:IAC acts as the EEC.

Op. 20/ii and Op. 87/iii thereby produce instances of expositional failure, by shifting suddenly at the point of the EEC to the minor mode. This creates a subordinate theme that is 'tragically' unable to maintain the major-mode,[233] and places a greater burden and emphasis on the corresponding ESC in the recapitulation. The issue this presents for Op. 20/ii is particularly acute, given that the main theme fails to assert itself in the recapitulation (the recapitulation begins with the subordinate theme, and the four measures of main-theme material clearly form part of a postcadential closing section).

Moreover, Op. 20/ii and Op. 87/iii have some parallels with Sonata Theory's category of 'S gone astray': despite the subordinate themes commencing in one of the 'generically obligatory' tonal areas (the relative major and dominant), 'with the incursion of unforeseen anxieties [S] has now utterly lost its sense of security and centeredness–slipping off the rails onto the "wrong key"', albeit in these examples the theme slips to the wrong mode.[234]

Eight movements in the case study exhibit *S-Closure Category 2* in which the subordinate theme does not feature a structural cadence, and instead the closing section occurs pre-EEC. This category directly contravenes Sonata Theory's assertion that 'C is postcadential (post-EEC)' and that 'we cannot consider anything to be C until S has attained the EEC.'[235] They also argue that C will feature material that is generally distinct from the earlier second theme: 'the "Non-S-ness" of C' where the closing zone 'customarily contain[s] material that provides an immediate contrast with the preceding S.'[236] In Mendelssohn's music, the occurrence of a structural cadence after the subordinate theme, but before the

[232] This material could theoretically act as a development, but it is particularly short if that is the case and would therefore result in there being no closing section. The preference here is thus a type of closing section ⟹ retransition reading.
[233] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 179.
[234] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 178-179.
[235] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 180.
[236] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 181.

arrival of contrasting material, is not guaranteed. Instead, he frequently invokes contrasting material, corresponding with a closing section rhetoric, before the cadence itself is achieved. Thereafter, further closing material is still frequently present, but often in the form of one or more postcadential codettas. Sonata Theory goes some way towards addressing this, in their so-called 'S^{C} Themes: Apparent C-Zones in the Absence of an EEC.'[237] Acknowledging that the second theme may 'break down' before the attainment of the PAC, and the inherent contradiction therein of the 'definition of C as postcadential' they fall short of defining this type of action space as a true closing section, instead opting for the S^{C} categorisation to describe 'the presence of a theme literally in precedential, S-space that in other respects sounds as though it is more characteristically a closing theme. Thus, S^{C} means "an S-theme, literally pre-EEC, in the style of a preplanned C-theme".'[238] I favour the identification of such spaces as more overt, individual closing sections, the 'C pre-EEC', rather than grouping them under the second theme. Regardless of its title, however, the 'S^{C}'/'C pre-EEC' does have several important implications: first, the identification of the action space must rely on rhetorical rather than cadential factors; second, the movement of the EEC to post-C rather than post-S places a greater burden on the closing section, with an elevated structural status, rather than merely an 'appendix … or set of accessory ideas';[239] and, third, the deferral of the structural cadence stretches the geography of the movement by expanding the end zones of the exposition.

The first example of *S-Closure Category 2* in the string quartets is the first movement of Op. 12, although the identification of a closing section is problematic. The subordinate theme commences in measure 59 with an antecedent, which produces a V:HC in measure 66-67, but the subsequent consequent phrase remains open-ended. The contrasting idea also features elements of the global tonic parallel-minor (E-flat minor). Following this tonal diversion, the expanded consequent now attempts to cadence. The material from measure 75 onwards is based largely over a step-wise chromatic bass line, which secures a V/V pedal in measures 83-84. This functions as a pivot back to the dominant, and obtains a return of B-flat major, although no structural cadence has yet occurred. The remaining eight measures feature a retrieval of the main theme's head motive, now firmly in B-flat major, the function of which is cadential. The segment cadences first in measure 89 with an IAC of limited scope, and a varied repeat of the same which produces another IAC (the structural EEC) in measure 93. Despite being a purely cadential segment, this is the only instance of a closing zone in the exposition (unless the exposition is viewed as not having a closing section).[240]

[237] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 190.
[238] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 191.
[239] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 180.
[240] I have viewed this as a separate zone from the subordinate theme, given the distinction in character from the preceding thematic material.

The finale of Op. 12 also features an EEC at the conclusion of its closing section. The subordinate theme of the finale is considerably larger than Op. 12's first movement, with a ternary form design. Given that the movement commences in the unexpected key of C minor (rather than the piece's E-flat major global tonic), the key at the beginning of the subordinate theme, G minor, corresponds with one of the expected minor-key movement modulations. However, the internal section of the ternary form, the contrasting middle, employs B-flat major, acting as both G minor's relative major and the global tonic's dominant (this also represents the first instance of tonal correspondence with the global tonic, albeit through its dominant). A^1 returns the key of G minor, and is much more fragmented than the earlier A. Large portions of A^1 attempt to secure the cadence, but eventually the theme gives way to closing rhetoric. The exact moment of arrival in the closing section is more evasive, and is a more ambiguous exercise. The more overt point of departure is the material following the evaded cadence in measure 90, except for the fact that this material originates earlier, being an inversion of the preceding four measures. There is also no clear distinction between what comes before and after measure 86. Instead, the end of the A^1 section seems to fragment to the point that the theme gives way to a closing section, which is fully established by measure 90. The EEC itself is the IAC in measure 100 (in the absence of any PAC motion), thereby delineating this movement as another *S-Closure Category 2*, C pre-EEC.

Op. 44 No. 1/iv (Example 3.4.1/3) features a deceptive cadence at the end of the subordinate-theme group. The theme (in the dominant, A major) is comprised of a period: an antecedent, leading to a PAC in measure 68, and a consequent, leading to an attempted PAC in measure 80. A brief reoccurrence of main-theme material, formed as an ECP, augments the subordinate-theme space, in an attempt to secure a structural cadence. This segment fails to do so, however, and a deceptive cadence is located in measure 88. Thereafter, the material more closely aligns with an energising closing section, which features a PAC in measure 106 (followed by an immediate IAC in measure 107, although this IAC, based on the opening P^0 module, is a type of cadential elaboration or suffix, featuring cadential content if not cadential function). Thus, the EEC is continuously deferred: first, by the inability of the subordinate-theme content to cadence; and, second, by the evasion of a PAC at the end of the main-theme based ECP. This therefore constitutes another example of a closing section pre-structural cadence.

The finale of Op. 44 No. 3 (Example 3.3.1/11) features several tonal/modal ambiguities before the dominant (B-flat major) is secured at the end of the closing section. The theme is comprised of a periodic presentation and a continuation. The presentation is divided into antecedent and consequent functions, each of which produces a PAC. However, while the antecedent tonicises B-flat major, the consequent concludes with a B-flat minor PAC. Much of the subsequent continuation function tonicises D-flat major. Reconstruction of the main-theme head motive occurs from measure 84, and this is accompanied by a change in rhetoric (the material is much more fragmentary), and an increased intensity,

all of which is set over a dominant (F) pedal, used to prepare the return to B-flat major. The V-I motion in measure 91 is not overtly cadential as a result of the preceding dominant pedal, but this does nonetheless signal the onset of the closing section. The EEC is established in measure 106, with a codetta thereafter, thereby producing another example wherein the structural cadence occurs post-closing section.

The first example of a closing section pre-EEC in the 'other chamber works' part of the study occurs in the first movement of Op. 18. The exposition takes a tragic turn part-way through the subordinate theme. The theme opens in E major (the 'normative' dominant), and both the opening compound basic idea and its repeat (measures 80-84 and 84-88 respectively) support the dominant. Thereafter, however, the continuation phrase circulates around IV/V (the tonic), followed by a sudden shift to F-sharp minor in measure 110. There is no structural cadence preceding this ii/V material, but the shift to F-sharp minor is accompanied by a change in rhetorical character, representing the start of the closing section. The exposition is furnished with an F-sharp minor IAC in measure 120, but this is a cadence of limited scope couched within a continuing closing section. The EEC takes place in measure 130, but significantly the bass is supplied by the viola II as a result of the cello having dropped out. The remaining measures of the exposition are a postcadential prolongation of F-sharp minor. Thus, the section between measures 110 and 130 represent a closing section pre-EEC, and the cadence in measure 130 produces a tragic foil for the major-mode movement and, in particular, the subordinate theme which sets out in the dominant major.

The subordinate theme of Op. 18/iv commences in measure 50 following an extended caesura-fill (with the V:HC MC located in measure 34). The theme leads to a I^6_3 chord on the downbeat of measure 73, but it is unlikely that this is a deceptive cadence: instead, measure 73 is the conclusion of a I^6_3 prolongation which begins two measures earlier. Following this, processes of a closing section appear to enter melodically. There is nonetheless a noncongruence here, as the bass cadential process continues through the material, and does not resolve until measure 81. Thus, there is a dislocation in the closing section, with no single event acting as the start of the closing material, as the closing section's melody and bass do not align. Thus, the closing material begins with two ECPs (measures 73-81 and 81-92). The V-I motion at the end of the second ECP (measures 91-92) is preceded by a standing on V, so is perhaps not a cadential (IAC) motion. The PAC EEC takes place in measure 98, but its efficacy is slightly undermined as the PAC seems embedded in the unit which began in measure 92. A further V-I motion is located in measure 116, but is also undercut by the preceding dominant pedal. Following this, there is a short transition to a main-theme zone, which occurs between the exposition and development: a sonata-rondo refrain. Except for the later MT-based closing section in the recapitulation, this is the only substantial return of the main theme, as the recapitulation opens with the subordinate theme. Therefore, despite the numerous attempts to cadence in the latter stages of the exposition's subordinate theme and throughout

the closing section, there is a lack of emphatic PAC motion. Measure 73 represents the onset of the closing section melodically, but this is dislocated from the bass, which only commences its closing section in measure 81. The most likely EEC candidate is the post-C PAC in measure 98.

Following a main theme that remains tonally secure, with a tonic (B-flat major) PAC, the remaining exposition material in Op. 45's first movement (Example 3.3.1/10) is much more tonally mobile. The transition culminates in the V^4_2/III MC two measures prior to the subordinate theme. The theme heads to its local tonic of D, but begins over a diminished seventh, and D is not harmonised as a local tonic. D minor is treated as the relative minor of F major, in which the theme ultimately attempts to cadence. While the dominant is secured at the close of the subordinate theme in measure 104, it is not done so cadentially. The return of main-theme material thereafter (in the left hand of the piano) signals the start of the closing section, which finally produces the PAC EEC in measure 124.

In the finale of Op. 58 there is a clear rhetorical break between the subordinate theme and closing section functions, in measure 89. However, the harmony at the end of the theme hints at V/V/V, at best, and is not cadential. Therefore, despite the rhetorical division, the theme is not cadentially closed. The closing section is furnished with a PAC in measure 101, representing the EEC. This thereby categorises the movement as *S-Closure Category 2*. The material from measure 101 onwards is different, consequently distinguishing the closing section from the beginning of a codetta space. There is relatively little material prior to the onset of the recapitulation (at measure 120), meaning that the codetta 'becomes' a retransition (and no development takes place).

Nine movements do not contain an EEC (*S-Closure Category 3*), as neither the subordinate theme nor the closing section produce a satisfactory structural cadence. Although the first movement of Op. 44 No. 2 technically contains a series of IAC-type events (Example 3.3.1/4), it is unlikely that these qualify as EECs. The subordinate theme emerges in G major, distinct from the preceding transitional material, and the MC, both of which rigorously prepare the dominant (B minor). The theme opens with a periodic design: the antecedent produces a III:HC in measure 60, while the consequent is open-ended, merged instead with a subsequent return of transition material in measure 69. The transition material does not produce a cadence and is itself merged with a reappearance of main-theme material in measure 84. The final stages of the exposition string together three implied IAC events, weakened through the misalignment of the bass tonic and the soprano $\hat{1}$ motion. The segment of material between measures 91 and 99 forms a type of codetta, meaning that the exposition lacks a formal closing section, unless the large segment of transition and main-theme retrieval acts as a type of closing zone. The exposition not only features a dissociation between the MC and the key of the subordinate theme, but the movement fails to produce a true EEC event, and indeed G major, despite occupying a large portion of the exposition, is not supported through a PAC (the early III:HC at the end of the antecedent, and the late false IACs are the

only cadential support for the relative major). Thus, the movement aligns with an *S-Closure Category 3* classification.

Op. 44 No. 2's Scherzo features a subordinate theme comprised of two hybrids operating at different structural levels. The first is a compound basic idea + consequent (measures 25-32 and measures 33-40 respectively), which initially seems to produce a very weak IAC in measure 41, but the dominant pedal preceding the tonic resolution means that this is a non-cadential dominant, thereby cancelling the cadential effect. Measure 41 instigates a continuation phrase, thereby producing the higher-level hybrid, with the compound basic idea + consequent contained within its own compound basic idea function. The continuation phrase does not produce a cadence before the onset of development, meaning that the exposition fails to secure an EEC. In some regards, the subordinate-theme material almost appears to resemble a type of closing function, raising the possibility of a continuous exposition.

The finale of Op. 44 No. 2 similarly does not feature an EEC. The subordinate theme begins in the relative major (G major), but does not commence over root-position harmony. Instead, much of the subordinate theme's initial stages feature a dominant (D) pedal. The theme is comprised of a sentential compound basic idea, sentential consequent, extension, and a segment of main-theme retrieval. The new local tonic (G major) is not secured until measure 83, at the end of the presentation phrase, some eight-measures into the subordinate theme. Even then, the tonic chord is in first inversion, rather than in root position. Moreover, despite sounding in G major, the chromatic nature of the melodic line, coupled with the lack of tonic bass support, works against any sense of a secured G-major tonality. The compound basic idea's continuation phrase, measures 83-90, fails to produce any sense of cadential articulation. The consequent, beginning in measure 91, retrieves the presentation statement and response, and with it the dominant (D) pedal. The continuation again fails to produce a cadence, and an extension is attached, leading to a return of the main-theme motives. Fragmentary elements of the head motive begin in measure 111, and are particularly apparent from measure 118. This retrieval produces a converging half cadence in measure 123, after which the rhetoric of a closing section enters in measure 125. The closing section commences over a significant G pedal, and appears initially as if it is heading towards a cadence in measures 153-155, but this is unsuccessful. By measure 181 it is clear that the development has begun (and this is also a rondo refrain section), with the result that the exposition ends without achieving a structural closure.

The subordinate theme of Op. 44 No. 1's first movement features several tonal issues, principally the lack of correspondence between the key of several of the internal and structural cadences, and that of the majority of the theme itself. The transition produces both a V/V:IAC ⇒ V:HC MC (the reinterpreted half cadence) and a V:PAC MC, but the subordinate theme immediately side-steps this, and the period commences in F-sharp minor (iii). The dominant, A major, is recovered at the end of the antecedent,

which is articulated by an A major PAC in measure 79. However, this does not secure A major for the remainder of the theme, as the consequent's basic idea retrieves F-sharp minor. As with several other periods, the consequent is open-ended. A brief extension, based on a rising chromatic line, culminates on an A major I^6_3 chord in measure 89 (non-cadentially). The retrieval of main-theme material from measure 90 engenders a pre-cadential closing section. However, unlike other examples in which the EEC is displaced to the end of the closing section, no such structural cadence occurs in this movement. Given that the subordinate theme's extension produces the shift to A major, taken together with the A major closing section, the earlier MCs which support A major, and the antecedent PAC, F-sharp minor is not supported cadentially in the subordinate theme, despite the majority of the theme's content occurring in the mediant minor.

The first movement of Op. 80 also fails to produce a cadence despite several internal implied cadences within the subordinate theme. The thematic space is split into two parts. ST1 comprises a compound basic idea plus repeat. These units do not end cadentially for the following reasons: the first compound basic idea is stuck over the dominant pedal; and, the conclusion of the compound basic idea's repeat no longer has the pedal, but features motion to a $^6_3$ chord that does not support a cadential reading. ST2 comprises a periodic presentation and continuation. The presentation's antecedent does produce an IAC because the viola now concludes on an A-flat, root position chord. The consequent meanwhile is open-ended, leading into a large continuation (beginning in measure 69) that is tonally mobile. By measure 90 the theme has retrieved A-flat major, but fails to produce a cadence because of a misalignment of root motion and $\hat{1}$ in the bass and soprano (likewise no IACs can be discerned either). Measure 96 represents a return of main-theme material, in the form of a closing section, seemingly with the initial goal of achieving the structural closure. This does not materialise, however, as the closing section becomes the start of the development. Therefore, the exposition is merged with the development (which is itself interesting given the subsequent merging of the development and recapitulation spaces), and fails to produce a structural EEC.

The finale of Op. 80 (Example 3.3.1/3) follows a similar design. The subordinate theme (beginning in measure 49) features an internal A-flat major PAC at the end of section one. The second section, however, fails to produce a PAC because the tonic chord is evaded, with the harmony moving from V to ♭VI. Main-theme material is retrieved, and despite an attempt to produce a cadence in measures 109-118, the root motion bass does not coincide with the soprano, and the subsequent section is merged with the development. Therefore, similar to the first movement, Op. 80/iv fails to produce a structural cadence.

The subordinate theme of Op. 20/iii (Example 3.3.1/6), based in the relative major, B-flat major (following a III:PAC MC), comprises a periodic syntax with extension. The antecedent phrase culminates on a B-flat major PAC in measure 36-37. The consequent is open-ended, however, and does not cadence

as expected in measure 48. Instead, the material stalls on a B♮-minor^{7} chord (in first inversion), before shifting to D major in measure 49. The material now seems to drive towards a cadence, but a cadential reading is not without issue. In addition to the tonal discrepancy between the theme (B-flat major) and the extension (D major), the material between measures 49 and 59 (where the theme appears to conclude) is anchored, for the most part, by a persistent D pedal. This therefore means that there is no bass support for a cadential reading, thereby suggesting prolongational formal closure rather than cadential formal closure. This problematises the cadential reading, and suggests that the exposition ends without an EEC.

The identification of a subordinate-theme group in the finale of Op. 45 is problematic. There are two possibilities: either the movement features no subordinate theme, and is thus a continuous exposition; or, there is a loose subordinate-theme group from measure 44 which attempts to cadence several times, but the local tonic (F major) is ultimately abandoned. The movement is further problematised by the fact that there is no medial caesura cadence, which negates the presence of subordinate-theme material under Sonata Theoretical principles.[241] Taking the less rigid approach that a subordinate theme can be established even in the absence of a medial caesura, the most likely candidate is the material from measure 44, but by measure 84 the theme has not managed to move to root position I (instead getting stuck on I^{6}_{3} several times). From measure 85, elements of the main-theme head motive emerge, and initially suggest a form of closing section pre-EEC. However, by measure 89 this material corresponds more overtly with the first-theme group, and with a return of the tonic this section instead acts as a main-theme refrain in the context of a sonata rondo. Therefore, the movement is a type of failed sonata, not only through its lack of medial caesura but also because Mendelssohn abandons the local tonic (F is never cadentially supported), deletes the EEC and the closing section, and moves instead to the rondo refrain. Thus, regardless of its continuous exposition or loose theme designation, the movement corresponds with *S-Closure Category 3*.

The opening tonality of Op. 66/iv's subordinate theme (beginning in measure 49) corresponds with the III:HC MC (E-flat major); however, the latter stages of the antecedent's contrasting idea feature a sudden return to C minor (the global tonic), and the antecedent is articulated by a C-minor PAC in measure 60. The consequent immediately retrieves E-flat major, but does not immediately produce a cadence, with a brief extension between measures 72 and 79. Measure 79 launches an ECP over a $^{6}_{3}$ chord that attempts to resolve to root position on several occasions, but the material repeatedly gets stuck on $^{6}_{3}$ (such as measures 83, 87, 92, and 95). The material culminates on a $^{6}_{4}$ chord in measure 98, after which any attempt to cadence is abandoned. The exposition ultimately closes having not produced an EEC, and

[241] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 25, 45-50, and 51-52.

possibly no closing section, unless the ECP in measure 79 is viewed as the start of closing material. Therefore, this movement aligns with S-*Closure Category 3* (no EEC).

The last movement does not fall easily into one cadential category, and instead appears to be in dialogue with multiple categorisations: Op. 66/i. Similar to those movements in the *1.d* variety, the subordinate theme (Example 3.3.1/2) ends with a sudden key change: the theme opens in E-flat major (III of the global C minor), and remains in that key for its majority, but concludes in G minor. The theme is a ternary form with several internal cadences based in III. The final A^1 section is extended by eight measures (A is an eight-measure period, while A^1 begins with the A period, but features an additional eight-measure segment). The conclusion of this extension leads out onto vii^{o7}/G minor in measures 93-94. The final harmony of measure 94 introduces V/G minor, with a G minor tonic downbeat in measure 95, but no cadence takes place. Thereafter, the material seems to correspond with a closing section, based on the main theme (with elements taken from each section of the ternary form). The first section (based on the main theme A section) closes in measure 105 (non-cadentially), while the second part of the closing section (based on the main theme's B and A^1 material) is considerably longer, and leads to an ECP, beginning in measure 120, which produces a covered G minor PAC in measure 132. Rhetorically, measure 132 represents a stronger sense of closure, but the cadential identification may be undermined by a preceding standing on V in measures 128-132. Another PAC is provided in measure 140, which is not hindered by a preceding dominant pedal, but rhetorically this is a much weaker option. Thus, this movement falls somewhere between the boundary of *S-Closure Category 2* (EEC after closing section) and *S-Closure Category 3* (no EEC) given that the cadences at the end of the closing material are not strong PAC options. As the subordinate theme and closing section conclude in G minor, this is consequently another example of a tragic exposition, unable to retain the more uplifting and triumphant major-mode III, which conveys a tragic quality by giving way to the minor dominant. This echoes the pattern of Beethoven's C-minor *Coriolan* Overture, Op. 62, which features i-III-v, as examined by Sonata Theory.[242]

[242] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 316-317.

3.4.2: Public works

Table 3.4.2/1: Public Works Subordinate-Theme Closure Results

S-Closure Category 1		
	Type 1.a	*Trompeten-Ouvertüre*
		Symphony No. 5/iv
	Type 1.b	*Die erste Walpurgisnacht*
	Type 1.c	*Die Hochzeit des Camacho*
		Meeresstille und glückliche Fahrt
		Ruy Blas
	Type 1.d	Symphony No. 5/i
		Symphony No. 2/i
		Athalie
S-Closure Category 2		
		Ouvertüre zum Sommernachtstraum
		Die Heimkehr aus der Fremde
		Die Hebriden
		Ouvertüre zum Märchen von der schönen Melusine
		Symphony No. 4/i
		Symphony No. 3/i
		Symphony No. 3/ii
		Symphony No. 3/iv
S-Closure Category 3		
		Symphony No. 4/ii

A large portion of the public works case study corresponds with *S-Closure Category 2*, demonstrative of Mendelssohn's tendency to delay structural cadences, particularly in subordinate-theme zones. This category accounts for eight of the eighteen movements. There is one example in which no EEC is produced, *S-Closure Category 3*, while the remaining nine movements are spread across the *S-Closure Category 1* types. PAC articulation is limited: strong PAC closure is represented by only two examples, while the weak PAC option is similarly identified in only one movement. *S-Closure Category 1.c*, which corresponds with articulation of the subordinate-theme group by a non-PAC cadence is evidenced in three examples, while *S-Closure Category 1.d*, which features a cadence that is tonally/modally disconnected from the preceding thematic material, is exhibited by three movements.

The two movements in the case study which express *S-Closure Category 1.a*, in which the subordinate theme concludes with a strong PAC, are Symphony No. 5/iv and the *Trompeten-Ouvertüre*. The theme of the Reformation Symphony's finale (Table 3.4.2/2) is periodic, but it contains several

internal, nested layers of functions. The antecedent (measures 121-141) is sentential, featuring a presentation (measures 121-128) and continuation (measures 129-132). The cadence phrase (measures 133-141) produces two IACs, in measures 136 and 141, the latter of which is elided with the start of the consequent phrase. The consequent features an altered version of the antecedent, initially retrieving only the first four measures of the presentation function before moving directly to the cadence, beginning in measure 145. The cadence by comparison is significantly expanded: it produces an initial weak IAC in measures 162-163, and this is immediately repeated, much slower and more gently, in measures 163-166, concluding with a dominant PAC EEC. There is no closing section or postcadential material thereafter, with the development commencing forthwith.

Table 3.4.2/2: Symphony No. 5/iv Subordinate-Theme Syntax and Cadences

Syntax	Subordinate-theme group									
	Antecedent					Consequent				
	Presentation		Continuation	Cadence		Presentation	Expanded Cadence			
Cadences				IAC	IAC				IAC	PAC
M.	121	125	129	133		141	145		163	166

The *Trompeten-Ouvertüre* likewise produces an *S-Closure Category 1.a* EEC. The subordinate theme is periodic, beginning in measure 88 in the dominant (G major). The consequent space is enlarged by a series of 'one more time' events. The first 'one more time' leads to a brief G major PAC in measure 98, but the thematic content continues thereafter, demoting its status and relegating it as internal to the theme. An emphatic G major EEC is asserted in measure 110, and the brief closing section produces a second G major PAC in measure 118.

There is one further example which features a concluding PAC, but the presentation is comparably weaker, thereby evidencing *S-Closure Category 1.b*. The overture *Die erste Walpurgisnacht* features a monothematic subordinate-theme zone, which is set against an oscillating pattern that continues over from the transition (hence the two functions are elided). The theme initially conveys a sentential reading, although one which proves unable to articulate a structural cadence following two early attempted cadences in measures 59 to 70. The theme thereafter is heavily liquidated, and in contrast to the declamatory nature of the opening segments, begins to die away. Renewed momentum towards a cadential goal is reasserted at measure 94, based on the theme's head motive (and given that the subordinate theme shares material with the main theme, this expresses a similar process to those pieces where main-theme retrieval engenders a structural cadence). The expansive theme culminates on a v:PAC in measure 102, but the cadence is elided with the ensuing codetta and therefore evidences *S-Closure Category 1.b*. According to Vande Moortele, the codetta conveys a 'double function … as both the end of

the exposition and the beginning of the development',[243] circumstances which are also evident in *Meeresstille und glückliche Fahrt*.

Despite not conveying any form of tonic authentic cadence in the first half of the exposition, the subordinate theme of *Meeresstille und glückliche Fahrt* (Table 3.4.2/3) produces an *S-Closure Category 1.c*, in which the theme features a structural IAC elided with a postcadential codetta function. The theme is periodic, comprising antecedent and consequent functions (measures 184-195 and 195-208 respectively). Internally, the periodic functions are themselves sentential, and the theme is articulated internally by a dominant half cadence in measure 195. The concluding tonic resolution in measure 208 dovetails with commencement of a codetta (which is sounded in the strings), which consequently elides the functions. The codetta itself is a double function, acting as both the function concluding the exposition and the pre-core of the development.

Table 3.4.2/3: *Meeresstille und glückliche Fahrt* Subordinate-Theme Syntax and Cadences

Syntax	Subordinate-theme group							↔	Codetta
	Antecedent				Consequent				
	Presentation		Contin. + cadence		Presentation		Contin. + cadence		
	Statement	Response			Statement	Response			
Cadences				HC				IAC	
M.	184	186	188	195	196	198	200	208	

Presentation of the structural cadence in *Die Hochzeit des Camacho* is also as an IAC. The subordinate theme is periodic, and features an IAC as the resolution for both the antecedent (measure 65) and consequent (measure 72), although the IAC at the end of the antecedent is elided with the consequent, as the point of resolution in the strings overlaps with the point of initiation in the woodwind. The IAC in measure 72 is not the structural cadence, however; this IAC is embedded in a larger unit which recalls material similar to that of the main theme. A further embedded IAC is provided in measures 79-80, with a more conclusive IAC produced in measures 99-100, whereupon the closing section rotates main-theme material. This latter IAC is elided with the closing section, but nonetheless is more rhetorically distinct than the preceding IAC events, not least because the latter stages of the cadential unit (measures 86-99) feature ascending motion, which is intensified from measure 93 onwards. This therefore imbues the material with a more overt driving impulse, and also contributes to a sense of rhetorical elision between the theme's cadential unit and the closing section. One issue with the second half of the exposition lies in the tonalities of S and C. Despite vigorously supporting the dominant (B major) throughout the

[243] Steven Vande Moortele, *The Romantic Overture and Musical Form from Rossini to Wagner*, 199-200.

subordinate theme and much of the closing section, the latter nonetheless culminates on a G major PAC just before the onset of the development's pre-core.

The exposition of *Ruy Blas* incorporates 'thematic infiltration', whereby the introduction's 'solemn motto-like phrase' is returned 'between the cracks' of the transition and subordinate-theme spaces.[244] The motto further acts as a means of reorienting the tonality, which was headed for the dominant in the transition but which now arrives on III. At the outset, the theme is loosened by pizzicato figures in the strings which form a link, or type of Sonata-Theory based S^{o} module,[245] between the opening motto (measures 97 to 100) and the theme's initiating function in measure 108. The theme asserts V-I motion in measures 139-140, but the soprano abandons the $\hat{3}$-$\hat{2}$-$\hat{1}$ motion, dropping out to $\hat{5}$ above the tonic chord (because of an elision with the closing section), with $\hat{1}$ transferred to an internal instrument. This is a weak IAC EEC at best.

The first movement of Symphony No. 5 ('Reformation') provides an *S-Closure Category 1.d* cadence, in which the theme produces an EEC but the EEC is at odds with the tonality of the preceding material (Table 3.4.2/4). The subordinate theme is based in the dominant and comprises an extended periodic design. The antecedent and consequent initially support A major (the antecedent is articulated by an A major HC in measure 145), but the extension and the ensuing cadential unit (measures 162 to 181) convert the music to the dominant minor. An initial aborted IAC takes place in measure 181, undermined by the deleted tonic bass support. A 'one more time' is therefore initiated, which now successfully produces an A minor PAC EEC in measure 189. Thus, despite securing a cadence pre-closing section, a tonal discrepancy between the opening periodic units and the structural cadence is present.

Table 3.4.2/4: Symphony No. 5/i Subordinate-Theme Syntax and Cadences

Syntax	Subordinate-theme group									
	Antecedent			Consequent						
	BI	CI		BI	CI (extended)	Cadence	*Unsupported IAC*	OMT		
Cadences			V:HC		*Going to dominant minor*					v:PAC
M.	138	142		146	150	162		182		189

The situation is more acute in the overture *Athalie*. Following a v:HC MC, which appears to set up A minor (the dominant minor) as the subordinate theme's tonality, the ensuing content in the woodwind is based briefly in C major, and the opening antecedent phrase culminates in a C major IAC (measure 158). The material following this, in particular the consequent's contrasting idea, 'corrects' the

[244] Steven Vande Moortele, *The Romantic Overture and Musical Form from Rossini to Wagner*, 136.
[245] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 142.

tonality, and produces an A minor PAC. Thereafter, further subordinate-theme material reframes the period as an ST1. ST2 is sentential, and the continuation stalls on a cadential-$^{6}_{4}$, initiating a cadential phrase in measure 182. Mendelssohn now delays cadential motion by rhythmically and temporally doubling the note durations. The cadential unit stalls on v, and tonic resolution is evaded. Rather than initiating a 'one more time', an interpolation of the introduction's chorale material is introduced, and produces an IAC in F major in measure 197. In this instance, the initiating function from the introduction is repurposed as a cadential phrase, bringing closure to the subordinate theme. Following a short retransition, main-theme material is sounded, heralding the closing section, which proceeds towards an A minor PAC (measure 233) thereby cancelling or compensating for the preceding tonal diversions. Thus, the movement presents an ambiguity as to which cadence represents the EEC. Despite furnishing the theme with cadential content, it is unlikely that the F major material acts as the EEC; instead the deferred v:PAC at the end of the closing section in all likelihood acts as the EEC function.

Finally, the first movement of Symphony No. 2 also evidences *S-Closure Category 1.d*, although some initial ambiguity as to the closing material suggests that this movement may be heading towards *S-Closure Category 2*. While the end of the transition space culminates in a standing on the dominant (V/V), the subordinate theme commences in A-flat major (an unusual choice given that the global tonic is B-flat major). This material (which produces an A-flat major IAC in measure 90) ultimately acts as a pre-empted relative major for the minor dominant (F minor), which is briefly tonicised in measure 94 (v:HC). Following this v:HC, the music immediately bypasses the minor dominant, and the consequent is initiated in F major. The consequent achieves closure via an F major IAC in measure 106 (if this is in fact a cadence, as V is presented in the strings while motion to I is transferred to the wind). The ensuing material, which initially suggests either a secondary subordinate-theme zone (ST2) or a closing theme, problematises the status of the first subordinate-theme zone's cadence, particularly with a pre-cadential return of main-theme material in measure 126. Assuming an ST2 designation, the subordinate-theme zone (between measures 106 and 126) does not achieve structural closure, and the main-theme retrieval initially indicates a form of C pre-EEC reading. The structural cadence, an F major PAC EEC (the first PAC thus far), is asserted in measure 134. Thereafter, however, a more substantial closing-zone ensues, with the result that the pre-cadential return of main-theme material is in fact part of the subordinate-theme zone. The ambiguity as to the identity of the material between measure 126 and the cadence in measure 134 does initially suggest some level of indeterminateness as to the movement's categorisation, but with the arrival of a more substantive closing zone, it is evident that this instantiates a closing section post-structural cadence. Nonetheless, given the internal tonal issues, this movement is categorised as *S-Closure Category 1.d*.

By far the most prolific category exhibited in the public works is *S-Closure Category 2*, in which the structural cadence is divorced from the end of the subordinate-theme zone, and moved instead to the conclusion of the closing section, thereby producing both an elision of the interthematic spaces and an extended deferral of cadential articulation. The first example of *S-Closure Category 2* is the first movement of the Scottish Symphony (Table 3.4.2/5). The theme commences following a dominant half cadence in measure 125, and the theme's initiating function (sounded in the clarinet) is accompanied by an altered version of the main theme in the strings. The first unit, basic idea, is answered by a *cantabile* contrasting idea in the strings, which initially present some major-mode elements before the antecedent phrase as a whole culminates on an E minor PAC in measure 141 (articulated in the strings only). The consequent is comparably more fragmented (and begins in the wind overlapped with the conclusion of the antecedent in the strings), with elements of call and response between the wind and strings. The drive towards the cadence is initiated in measure 153, but as with many expositional main themes, this primarily consists of a rising chromatic line, accompanied by crescendo markings and a sense of building momentum. As is typical with these gestures, no cadential articulation follows, and emphatic closing section rhetoric commences in measure 158, prior to the structural cadence. In this particular example, the EEC (E minor PAC in measure 181) is followed by a substantial closing theme (rather than just a codetta).

Table 3.4.2/5: Symphony No. 3/i Subordinate-Theme Syntax and Cadences

Syntax	Subordinate-theme group		↔	Closing section	Closing theme
	Antecedent		Consequent		
	Basic idea	Contrasting idea	*Retrieval, but primarily restatements and fragmentations*		
Cadences		v:PAC	*Momentum gain*	v:PAC	
M.	124	133	141	158	181

The second movement of Symphony No. 3 (Table 3.4.2/6) concludes with a C major first-inversion chord, but this is not cadential (at best, this would supply another deceptive cadence). The subordinate theme (measures 71-92) comprises a sentence: presentation (statement, measures 71-75, and response, measures 75-79, both of which are articulated by a half cadence), continuation (measures 79-87) and cadence (measures 87-92), but the latter function does not prove successful in attaining a structural closure. The material thereafter is relatively short, acting more as a type of postcadential unit rather than closing section. This material leads onto a root-position C major PAC in measure 104, but the latter stages of the closing unit are relatively fragmentary and so lack the sense that the material is driving or pushing towards this PAC. Nonetheless, the movement therefore produces a structural closure at the end of the closing material, and evidences *S-Closure Category 2*.

Table 3.4.2/6: Symphony No. 3/ii Subordinate-Theme Syntax and Cadences

Syntax	Subordinate-theme group				Closing section
	Presentation		Continuation	Cadence	
	Statement	Response			
Cadences	HC	HC		*Deceptive cadence?*	EEC
M.	71	75	79	87 92	104

The Scottish Symphony's finale likewise features a closing section pre-EEC. Despite the medial caesura culminating on a half cadence in the relative major (C major), the initial section of the subordinate theme sidesteps this in favour of the minor dominant (E minor), but the tension between III and v continues throughout the subordinate-theme space. The theme is split into two sections, the first between the upbeat to measure 67 and measure 90, and the second between the upbeat to measure 91 and measure 109. The first section features two discrete ideas, B1 and B2, the first of which is followed by an immediate repetition: B1 (measures 67-74), B1 again (measures 75-82), and B2 (measures 82-90). These resemble a basic idea (plus repeat) and a contrasting idea, as neither idea features cadential motion, largely owing to the bass pedals. The basic ideas tonicise E minor, and feature a dominant pedal of B, while the contrasting idea tonicises C major and is set over the dominant pedal G. The second section of the theme recycles this material, but sheds the basic idea repeat, thus more closely resembling a compound basic idea. Again, the basic idea (measures 91-98) supports E minor, while the extended contrasting idea (measures 98-109) supports C major. The theme concludes with a motion to III^6_3, elided with the ensuing closing section, thereby producing another of Caplin's deceptive cadences.[246] The material from measure 109 onwards represents a precedential closing section, and features elements of the main-theme material. It concludes with an emphatic C major IAC in measure 148. Directly thereafter the material moves to the development section, meaning that in the absence of any further PAC motion, the IAC acts as the EEC. Given that the EEC is presented in the relative major, the movement presents correspondence between the MC and EEC, despite an internal conflict in the subordinate theme between C major and E minor.

Symphony No. 4/i also features a cadence deferred until after the closing section. Similar to the exposition main theme, the subordinate theme is a complex sentential-period design: an antecedent leading to a half cadence (measures 110-123) and an open-ended consequent (beginning in measure 124) which features several cadential modules. An ECP commences in measure 140, and leads to a V:IAC in measure 147, but the thematic space is re-opened by a 'one more time' in measure 148. Before the tonic can be articulated the material turns to a retrieval of main-theme material, measure 166, which functions as a closing section, and produces the EEC (V:PAC) in measure 183.

[246] William E. Caplin, *Analyzing Classical Form*, 130.

Die Hebriden (Table 3.4.2/7) features a closing section pre-EEC despite articulating an internal D major (III) PAC. The theme commences in measure 47 with a periodic design, with sentential features present in both antecedent and consequent functions. The antecedent articulates the D major PAC in measure 57, but the corresponding segment in the consequent does not cadence at the equivalent location in measure 57 and thus the cadence is pushed out. By measure 70 it is clear that the cadential unit has been abandoned, and the subordinate theme is now augmented with a fragmentary return of main-theme material. The fragmentary material is converted to a closing section in measure 77, with no cadence partitioning the subordinate theme and closing spaces. A full return of material based on the main theme drives towards cadential conclusion, and a D major PAC (EEC) is furnished in measure 89.

Table 3.4.2/7: *Die Hebriden* Subordinate-Theme Syntax and Cadences

Syntax	Subordinate-theme group						↔	Closing section
	Antecedent			Consequent			MT-material	
	Pres.	Contin.	Cad.	Pres.	Contin.	Cad. …		
Cadences			III:PAC					III:PAC
M.	47	51	55	57	61	65	70	77 89

The transition of *Die Heimkehr aus der Fremde* initially seems to present a caesura-fill directly following the V:IAC MC in measure 119. This MC-fill arguably evolves, however, as a discrete subordinate-theme unit, which culminates on a V:IAC in measure 135, thereby framing the 'MC-fill' as ST1. The ensuing section (ST2) conveys an open-ended periodic design. The antecedent and consequent functions both culminate on a first-inversion tonic chord (measures 143 and 151 respectively), after which the theme is furnished with several units seeking cadential resolution. Nonetheless, the subordinate theme yields to closing rhetoric before the structural cadence is sounded. The EEC is eventually articulated in measure 181, albeit as an IAC rather than a PAC.

The subordinate theme of *Die schöne Melusine* features a complex nesting of intrathematic functions. At the highest level, the theme is periodic, but internal sentential functions can also be identified, beginning with the antecedent's basic idea (measures 107-115). The contrasting idea initiates an expanded cadential progression, which leads first to a deceptive cadence before asserting an A-flat major PAC in measure 123. The consequent retrieves the sentential basic idea, but each internal unit is elongated, and features elements of the minor mode in these expansions. Having expanded the presentation functions, the continuation unit is deleted, and the material proceeds directly to a variation of the cadence phrase, beginning in measure 131. From this point the consequent phrase features *Fortspinnung*, and the theme begins to dissolve. This liquidation is aided by intrusions of the main-theme motive, which commence in measure 137. The 'intrusions' divert the material to a full tutti section of main-

theme retrieval, now acting as the closing section, and the closing unit produces the III:PAC EEC in measure 156.

The subordinate theme in *Ouvertüre zum Sommernachtstraum* is comprised of two parts: ST1 and ST2. The first section, measures 130-138, form a tight-knit period, in which the antecedent culminates on a V:HC while the consequent asserts a V:IAC. ST2 begins with sentential functions, comprising presentation, continuation, and cadence, which produce a V:PAC in measure 154. Thereafter, the material from the presentation is retrieved, reframing the sentence into an antecedent function. The continuation phrase of the consequent is altered, thrown off-course by interruptions in the wind and brass. The cadence phrase is reasserted, leading to a V:PAC in measure 174, but the return of the 'interruption' figure reframes this cadence as internal to the theme. The cadence is once again retrieved, but the PAC is not immediately realised, and the cadence is extended. This appears at first to be heading towards a more declamatory style ending, and a more emphatic structural cadence, but this does not materialise, and the subordinate theme gives way to the closing section (which begins in measure 194). This has several implications: first, the persistent retrieval of subordinate-theme functions continuously downgrades the dominant cadences, whereby the ST1's IAC, and the PACs in ST2 are reappraised as intrathematic cadences, rather than interthematic cadences; second, despite several internal cadences within the subordinate-theme group, the interthematic function overall fails to produce a structural cadence and the subordinate theme group is merged with the closing section. Additionally, the latter units of the subordinate theme evidence the momentum gain considered in several of the chamber works, which rhetorically aligns the end of the subordinate theme more closely with the closing section. There are two cadences after the onset of the closing section, but both are overwritten by the continued presence of closing material. The strongest EEC candidate is asserted in measures 237-238, followed by a short codetta.

The remaining example in the case study does not produce an EEC, and therefore corresponds with *S-Closure Category 3*: Symphony No. 4/ii. Following a D minor main theme, the subordinate theme arrives in the dominant major in measure 45. It comprises a periodic design, and the antecedent is articulated by a dominant half cadence (measure 49). The consequent makes two attempts to cadence, in measures 53 and 55 respectively, but neither are successful. Directly thereafter the introduction motive returns, and heralds the onset of the recapitulation (in the context of a sonata without development).

3.5: The ESC

3.5.1: Private works

Op. 66/i is a particularly striking example of ESC deferred (explored in more detail in "Part Four: Conclusions"). The exposition analysis demonstrates that the subordinate theme ends non-cadentially in the minor dominant (despite a subordinate theme in III), with closure occurring at the end of the closing section (if either of the PACs in measures 132 or 140 are strong enough EEC candidates). The recapitulation, on the other hand, also does not produce a cadence at the conclusion of the subordinate theme, and the closing section again features only the weaker PAC options. Measure 297 corresponds with the covered PAC in measure 132, but is again preceded by a dominant pedal, and measure 305 corresponds with that of 140, which is rhetorically weaker. After the onset of the subordinate theme – its internal cadences notwithstanding, both of which articulate the first two sections of the theme's ternary form design, and neither of which can be regarded as the ESC as they are off-tonic (C major PAC and G major PAC, measures 249 and 257 respectively, in a C minor movement) – a more emphatic cadence is thus deferred into the coda, which commences in measure 307. The ESC is therefore likely the C minor PAC in measure 372. Mendelssohn not only downplays the correction of the exposition's modulation by returning the theme in C major (A and A^1) and G major (B/contrasting middle), but he inflates a sense of goal-directedness by the continuous deferral and delay of the structural closure.[247] This gives rise to a syntactic instability wrought by a consistent denial of cadential articulation.[248] Mendelssohn's interthematic groupings do not necessarily collapse in the absence of cadential articulation, but 'the articulation of interthematic functions' by means other than the cadence, chiefly 'motive and rhetoric', take precedence when 'perfect authentic cadences are few and carefully located.'[249]

There are twelve movements in which the EEC and ESC analyses largely correspond: Op. 13/i, Op. 44 No. 1/iv, Op. 44 No. 3/i, Op. 44 No. 3/iv, Op. 80/iii, Op. 3/ii, Op. 18/iv, Op. 20/i, Op. 49/iii, Op. 58/i, Op. 58/iv, and Op. 87/i. In Op. 13/i, the subordinate theme reprise commences in measure 171, and produces the PAC ESC in measure 206. This corresponds with the earlier EEC event, and is therefore also classified as *S-Closure Category 1.a.*

Both the EEC and ESC in Op. 44 No. 1/iv occur post-closing section. The subordinate theme returns in the recapitulation in measure 227, and having failed to cadence, the main-theme material is retrieved in measure 246. As with the exposition, no structural cadence occurs (the PAC is sidestepped in

[247] Similar to Nicholas Marston's view of Beethoven's goal-directedness in Nicholas Marston, '"The Sense of an Ending": Goal-Directedness in Beethoven's Music' in *The Cambridge Companion to Beethoven*, ed. by Glenn Stanley (Cambridge: Cambridge University Press, 2011): 84-102.
[248] Julian Horton, 'Formal Type and Formal Function in the Post-Classical Piano Concerto', 106-107.
[249] Julian Horton, 'Formal Type and Formal Function in the Post-Classical Piano Concerto', 107.

measure 254 and a deceptive cadence is generated instead), and an extensive closing section ensues. The closing section initially directs towards a PAC in measure 270, but falls onto a deceptive cadence instead. The first authentic cadence occurs in measure 290, but whereas this produces a PAC in the exposition followed by an immediate IAC, only the IAC is present in the recapitulation. The PAC ESC occurs slightly later (measure 302), meaning that the recapitulation's closing section is comparatively longer, but nonetheless both the EEC and ESC occur at the end of the closing zone.

The recapitulation subordinate theme of Op. 44 No. 3/i corresponds closely with that in the exposition. The recapitulation retrieves the exposition's brief internal tonal mobility, with some local tonicisation of G-flat major in the first sequence unit, but the remaining material supports the global tonic (E-flat major). As with the exposition, the recapitulation yields a strong PAC ESC at the conclusion of the theme (measure 274).

The placement of the EEC and the ESC in Op. 44 No. 3/iv is also similar. The exposition subordinate theme proves incapable of achieving closure, and so main-theme retrieval, acting as a closing section, produces the EEC, thereby placing the structural cadence between the closing section and codetta. In the recapitulation, the subordinate theme features a stronger rhetorical sense of closure in measure 292, but motion to $^{6}_{3}$ negates the cadential effect. This is in addition to the preceding tonic pedal. Thus, while a sense of thematic closure is achieved, no cadential closure occurs. The closing section is again based on the main-theme material, and leads to a series of cadences: measures 296 (E-flat major IAC), 306 (E-flat major IAC), and 312 (E-flat major PAC). The latter PAC ($\hat{1}$ provided by violin II) is not only the first PAC in the second part of the recapitulation, but it is the first cadence that leads to different material, with a codetta operating in the remaining measures of the movement (312-323). This PAC acts as the ESC, after an expanded closing section (when compared with the exposition). Thus, both the EEC and ESC are provided post-C (*S-Closure Category 2*).

Op. 80/iii features a displaced development, in which developmental material is ambiguously inserted between the reprises of the main and subordinate themes. The subordinate theme is recapitulated in measure 83, and aligns closely with that in the exposition. The ESC is produced in measure 94, after which the closing section and a short coda ensue.

Op. 3/ii's recapitulation opens with the monothematic material in measure 41, producing an E major PAC in measure 46. Initially, the recapitulation appears to proceed directly from this presumed main-theme zone to the closing material, which produces another PAC in measure 56 (with a coda thereafter), thereby deleting the transition and subordinate theme. This problematises the ESC reading, however, given the supposed lack of subordinate-theme space. Reinterpreted, it is possible to say that the recapitulation in fact lacks a main-theme zone, in light of the monothematic nature of the main and

subordinate themes. Thus, the recapitulation has jettisoned the main theme, and opens with the subordinate-theme group instead. As a result, the first PAC in measure 46 is the ESC.

The cadential categorisation in Op. 18/iv's recapitulation is analogous with that of the exposition, in that the structural cadence is deferred until after the closing section (*S-Closure Category 2*). That said, there are some differences in the onset of the closing material. The recapitulation's subordinate theme concludes similarly to the exposition, with a prolongation of I^6_3, but the melodic and bass disconnection at the beginning of the closing material is not as manifest. The recapitulation closing section also features a stronger IAC candidate eight measures later (whereas in the exposition this motion is not as overtly cadential, and seems instead to initiate another ECP). The ensuing continuation of the closing zone is much bigger than that in the exposition. Given that an early main-theme rondo refrain is sounded before the development, but is not present at the start of the recapitulation (which begins with the subordinate theme), the larger proportion of the closing zone (which is based on a varied return of main-theme material) may attempt in some way to compensate for the lack of official main-theme reprise in the recapitulation. As a result of its expansion, attainment of the structural cadence (measure 304) is delayed. Nonetheless, both the exposition and recapitulation have their structural cadences following the onset of closing material.

The cadential categorisation of Op. 20/i's recapitulation mirrors that of the exposition (*S-Closure Category 1.a*). The internal modulations of the subordinate theme are removed from the recapitulation, in part because of truncation. The statement and response are both compressed, and the response remains in the local tonic. The continuation therefore sheds its modulation. The theme produces two IACs of limited scope in measures 265-267, but the structural E-flat major PAC ESC is produced on the downbeat of measure 271.

Op. 49/iii features a continuous exposition, which is mirrored by its recapitulation. Thus, there is no subordinate-theme material prior to the structural cadence, and the ESC is located in measure 141. As demonstrated by Schmalfeldt, Mendelssohn engages a significant coda from measure 157.[250] This material centres on the development theme which began in measure 105. One could therefore argue that this movement does in fact contain secondary-thematic material, but that it is displaced from the exposition and recapitulation into the development and coda.

The subordinate theme of Op. 58/i ends with an elided IAC, similar to the exposition, but as with the earlier material it is clear that this is not the structural cadence. The ESC is deferred to the end of the closing section, where a much more emphatic PAC occurs in measure 330. Op. 58's finale also shows agreement between the EEC and ESC, with the structural cadence deferred until the end of the closing section (*S-Closure Category 2*). Similar to the exposition, there is still a clear rhetorical difference between

[250] Janet Schmalfeldt, *In the Process of Becoming*, 189-193.

functions, and a caesura (pause/gap) at the end of the subordinate-theme space, but this is not cadentially articulated. The theme does feature two internal D major (global tonic) IACs, which may compensate for the lack of structural closure. The closing section ends with a PAC in measure 213. The codetta does provide a more articulated PAC (measure 238), which could rival the previous PAC for ESC designation, but measure 213 is nonetheless the first PAC, and consequently enables EEC-ESC correspondence.

The internal tonal issues of Op. 87/i persist in the recapitulation, but the theme returns to the tonic (B-flat major) for its structural cadence. As with the exposition, the recapitulation is accordingly a type of *S-Closure Category 1.d*. Unlike the exposition where the subordinate theme begins with V/V following a V:HC MC, the tonality of the MC and the start of the subordinate theme in the recapitulation both support B-flat major (I), and thus the issues of tonal mobility remain purely internal to the theme. The ESC is similarly produced at the end of the subordinate theme, in measure 279. While the closing section features a brief tonal diversion, it reasserts B-flat major with another I:PAC in measure 301, further confirmed by the codetta and coda.

While many of the movements feature several cadential deferrals, the same cannot be said for Op 44 No. 1/iii. As borne out in the exposition main-theme and subordinate-theme analyses, the movement is articulated by several internal and structural cadences. The same is true of the recapitulation. Although the main theme loses its structural cadence, there are several internal tonic cadences. The subordinate theme retains its structural cadence, thereby creating agreement between the EEC and ESC. The movement does, however, provide one distinct transposition of thematic material. The exposition provides a D major subordinate theme, and unlike other examples where the recapitulation returns the subordinate theme in the major tonic (such as Op. 44 No. 2/i, Op. 44 No. 2/iv, and Op. 80/i), this recapitulation alters the thematic content so that the theme is returned in the tonic minor. While this therefore means that there is agreement between the theme's modality and that of the ESC (the B minor PAC in measure 104), it produces a particularly fatalistic 'sonata-process failure', with the 'emancipatory paradigm' initially suggested by the exposition's major-mode subordinate theme, now 'unfulfilled' and resolutely denied.[251] The reconstruction of the once major-mode subordinate theme in the minor mode 'cancel[s] out the hopes raised in the exposition: a moving wave of despair passes through this music, inexorably reversing former hopes.'[252] Both the ensuing closing section and codetta also provide B minor PACs (measures 108 and 114 respectively), and so too does the expansive coda (measure 152), in-keeping with the movement's propensity for cadential articulation, and thereby dashing any hopes of a redemptive ending mode switch.

[251] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 313.
[252] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 313-314.

In two movements, the placement of the EEC and ESC do not correspond: Op. 13/iv and Op. 45/i. The labelling of S and C functions in the recapitulation of Op. 13/iv remains the same despite the changed cadential category. Commencing in measure 289, the initial stages of the recapitulation's subordinate theme correspond with the exposition. The recitative interruption is deleted, however, and the material leads directly into the exposition's so-called two-measure 'retransition' (measures 305-306). While in the exposition the EEC is positioned four measures thereafter, and the material that follows is considered the closing section, in the recapitulation no equivalent PAC takes place in the corresponding position (measure 311 features V-i, but is much less overtly cadential). Thus, the closing material enters prior to the structural cadence in the recapitulation. A deceptive cadence is produced first in measure 315, with the PAC ESC on the downbeat of measure 319. A second PAC occurs at the end of the codetta in measure 325, but this is elided with the start of the coda.

The recapitulation of Op. 45/i also alters the placement of the structural cadence, but instead moves it from a post-closing section to a pre-closing section position. The theme recalls some of its tonal issues at its outset. Many of the exposition's internal tonicisations are removed, however, as the thematic space is significantly shortened. The recapitulation medial caesura presents a vi:HC, and the thematic material initially seems to support a modulation to the submediant, but this is not cadentially supported, and the first cadence occurs in F major (measure 269). This immediately shades to F minor before modulating to the global tonic. A B-flat major PAC ESC is provided in measure 279. What follows between measures 279 and 288 can only be regarded as an interpolation: 'musical material that is inserted between two logically succeeding formal functions, yet seemingly not to belong to either function',[253] with the closing section thereafter. The recapitulation thus alters the placement of the structural cadence: while the EEC is located after the closing section, the ESC is provided at the end of the recapitulation's subordinate theme.

In Op. 12/i, the EEC is presented at the very end of the exposition following a brief closing section idea. This is altered in the recapitulation, however, as a more substantive closing zone is present, after the structural cadence is achieved. By comparison with the exposition, the recapitulation S-space is longer, first through an extension, and second through an interruption. The subordinate theme commences soon after the recapitulation main theme (in measure 195), in part because the MT's cadence and much of the transition is removed. The subordinate theme's periodic syntax is retrieved, inclusive of the minor-sounding consequent contrasting-idea. Similarly, the subsequent expansion unit, based on the stepwise bass-motion, is retrieved, but thereafter a large section of material not present in the exposition is included. At measure 247, the theme from the development intrudes on the subordinate theme before a structural closure can be achieved and the development theme 'disrupts the immanent logic of the

[253] William E. Caplin, *Classical Form*, 55.

music.'[254] The exposition's material resumes in measure 259 with the main-theme based cadential material from the exposition's conclusion. This section is comparatively expanded, and produces an initial IAC (of limited scope) in measures 266-267, followed by a PAC in measure 275. In the exposition, the structural cadence is an IAC post-C, but this has been converted to a PAC pre-C in the recapitulation. The reprise is furnished with a closing-section proper, unlike the exposition wherein no substantive closing material (except for the concluding eight-measure cadential progression itself) is present.

There are several movements which feature an ESC despite a lack of EEC candidate in the exposition. The tonal issues of Op. 44 No. 1/i's subordinate theme persist in the recapitulation, but the theme recovers the tonic having initially started in the wrong key. As with the exposition, while the MC is comparatively normative, the theme side-steps the global tonic (D major) and commences in measure 270 in B minor. As earlier, this key is not supported by an internal cadence, and the antecedent culminates instead on a D major PAC in measure 278. The recapitulation similarly fails to produce a structural cadence, and main-theme material is retrieved from measure 289 (in the form of a closing section pre-structural cadence). Unlike the exposition which does not produce a structural EEC cadence, this closing section leads to a D major PAC ESC in measure 297.

Op. 44 No. 2/ii also produces an ESC despite there being no EEC in the exposition. Nonetheless, the ESC is only achieved deep into the coda space. The subordinate theme is reprised in measure 175, and again ends non-cadentially (owing to the nature of the dominant pedal, meaning that the dominant is unlikely to act in a cadential manner). The coda retrieves the theme from the end of the development, which is a much more stable theme than the subordinate-theme group itself (possibly acting as a form of displaced second theme). Despite the slightly odd parallel octaves produced by the outer strings, a much more conclusive PAC is engaged in measure 234, thereby creating a strong sense of teleology (recalling that the main theme cadences are either weak or abandoned, and that the exposition lacks the EEC).

The internal syntax of Op. 44 No. 2's first-movement subordinate theme shows correspondence between the exposition and the recapitulation, with the crucial distinction being the satisfactory attainment of an ESC at the end of the recapitulation subordinate theme even though no EEC event occurs. The significant manifestation of dislocation in the subordinate-theme zone is the disparity in the modality of the thematic content and that of the ESC. The subordinate theme commences in E major in the recapitulation (paralleling the major-mode exposition S-theme), but whereas the concluding space of the exposition, and the point where an EEC should have existed (measures 90-91) maintains the major mode, the same cannot be said for the recapitulation and the ESC. The pre-cadential return of main-theme material in the recapitulation's S-zone returns E minor, and the recapitulation yields an E minor ESC.

[254] Benedict Taylor, *Mendelssohn, Time and Memory*, 174-194.

However, despite the fact that this presents an incongruity in the S-space, the ESC does conform to the modality of the global tonic, which is E minor.

Similarly, while the exposition of Op. 80/i does not produce a structural EEC, the recapitulation does provide for an ESC. The recapitulation's subordinate theme is presented in the major mode (F major), rather than the global tonic of F minor (echoing the exposition's presentation of the S-theme in the relative major). As with the exposition, the subordinate theme material does not produce a structural cadence, emptying out onto V^7 in measure 252. The material effects an immediate mode-switch, with a brief transition into main-theme material in measure 259 (now in the minor mode). As with the exposition, this MT-material acts as a closing section. The material leads first to a deceptive cadence (measures 282-283) before achieving an F minor structural PAC (ESC) in measure 290, prior to a brief coda. Thus, the recapitulation is categorised as *S-Closure Category 2* (structural cadence post-C). Both movements therefore take a fatalistic turn in the moments leading up to the ESC, with a modal decay from the major mode back to the minor mode.

While a structural cadence can be located in the second half of Op. 80/iv's recapitulation, there is no PAC candidate for the ESC. The theme commences in measure 289, and the first section produces an F minor PAC in measure 305. This in fact represents the only PAC in the recapitulation, but is not the structural cadence as this is interior to the theme. The second section of the theme follows the exposition in that it does not end with a structural cadence. The corresponding pre-cadential main-theme retrieval (the closing section) occurs in measure 325, following a deceptive cadence. The ensuing material struggles to assert a structural cadence, instead falling to either implied IAC or deceptive motion. In measure 422, the dominant is asserted, and produces motion to the tonic in measure 427. This constitutes the strongest candidate for the ESC.

Op. 44 No. 2/i and Op. 80/i are distinct from Op. 20/ii in that the former do not produce EECs while Op. 20/ii does, but all three have in common subordinate themes that commence in the major mode that then yield pre-cadentially to the minor mode. The shading back to the minor in Op. 20/ii parallels the tragic turn of its exposition, wherein an E-flat minor PAC (iii) follows an E-flat major (III) based theme. The subordinate theme initiates the recapitulation in measure 76, and retrieves the exposition's modality, with the theme commencing in C major (I). The antecedent ends with a deceptive cadence, while the consequent's contrasting idea is extended, facilitating the mode-switch to C minor (the global tonic). As with the preceding examples, the trajectory of the sonata form towards a realisation of the tonic first promised at the beginning of the movement, C minor,[255] supersedes the minor-major liberation.[256]

[255] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 232.
[256] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 312.

While Op. 44 No. 2/i, Op. 80/i, and Op. 20/ii feature thematic material that corrects to the 'proper' mode before a structural cadence, the same is not true of Op. 44 No. 2/iv, as the recapitulation does not support the global tonic, and instead appears to try to assert modal liberation to the major mode. The recapitulation's S-theme is presented in E major (and, as with the earlier material, this commences over a dominant, B, pedal). Whereas the concluding thematic units of the three aforementioned movements feature a mode switch, the subordinate theme, closing section, and codetta of Op. 44 No. 2/iv all remain in E major. The theme once again leads to a converging half cadence, whereupon closing rhetoric commences (measure 379). The closing section is distinct from that in the exposition: whereas the earlier material cannot cadence because of a persistent bass pedal, the recapitulation's closing section does seem to produce two IAC events because the pedal is no longer present (measures 383 and 387 respectively). Nonetheless, neither of these cadences appear to act in the capacity of an ESC, not only because of their comparatively weaker nature, but because the material continues thereafter, and because they support the major mode while the coda returns the movement to the tonic minor. Any cadential event in this recapitulation thus acts similarly to the type of 'substitute' or 'false' ESC espoused by Sonata Theory, which 'provid[es] the illusion of closure in the wrong key with an otherwise correctly placed [cadence].'[257] The structural (global tonic) E minor PAC is instead produced half-way through the coda: measure 461. The conversion of the material to the major mode, the initial liberation, is cancelled, and the 'minor-major emancipation' is lost.[258] This presents several analytical issues, not least because the structural cadence therefore takes place in one of Sonata Theory's so-called parageneric spaces. This has two effects: first, the coda must correct the modality left over at the end of the recapitulation; second, this results in a long-range deferral of the structural E minor PAC (considered further in "Part Four").

Op. 20/iii has a series of tonal/modal issues in its recapitulation. First, the material returns off-tonic, beginning in E-flat major (VI). Some internal units of the theme are altered (the c.i. of the antecedent is different and so too is the extension post-consequent), with the extension effecting a modulation to the major tonic (following a standing on V in measures 202-207). The dominant pedal negates the effect of the V-I motion in measures 207-208, and a more emphatic G major PAC is produced in measure 214. The closing section confirms the major mode through a repeated G major PAC in measure 220. The sonata-form proper therefore produces the minor-major emancipation, only for the coda to proclaim this another 'false' ESC, 'inexorably reversing former hopes' with the return of G minor, confirmed by a G minor PAC in measure 242.[259]

[257] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 246, leaving aside the issue that the cadences occur after the onset of the closing section.
[258] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 312.
[259] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 314.

Finally, Op. 45/iii also features an ESC despite a lack of EEC in the exposition. The subordinate theme directly follows the main theme (in measure 181), as the transition is deleted. As with the exposition, the subordinate theme is extensive, and attempts to cadence on several occasions. It produces a brief IAC event in measure 209, but the thematic material continues thereafter thereby delineating this as an internal cadence. Fragments of the main theme's head motive again emerge (as in the exposition) in measure 220, but unlike the earlier material where this is turned into a main-theme refrain, the motive is altered in the recapitulation, such that the original initiating phrase is now a cadential phrase (measures 226-231),which produces the PAC ESC.

Presentation of the S-cadence in the 'wrong' mode is not limited to Op. 44 No. 2/iv; the same occurs in Op. 3/i, Op. 49/i, and Op. 87/ii. In Op. 3/i, the subordinate theme is reprised in truncated fashion, with some internal units removed. Nonetheless, as with the exposition, the subordinate theme achieves a structural cadence prior to the onset of closing-section material, in measure 470. However, the subordinate theme is presented in B major (mirroring its D major presentation in the exposition), and the concluding cadence corresponds with the major mode, rather than the B-minor global tonic. B major is further expressed in both the closing section and codetta (the former of which concludes with a B major PAC in measure 511). Thus, the sonata space concludes off-tonic, and Sonata Theory would likely posit that this represents a nonresolving, failed recapitulation.[260] The burden of B-minor resolution is transferred to the coda, with the first B-minor PAC presented on the downbeat of the coda section (thereby eliding the recapitulation and coda functions). Unlike Op. 44 No. 2/iv in which the subordinate theme's cadence is a relatively weak IAC, the concluding S-cadence in Op. 3/i is comparatively stronger, not least because it is a PAC. Therefore, this presents an issue for the ESC identification. Assuming that the ESC must conform with the global tonic, then the initial S-cadence is another 'false' ESC,[261] with the true ESC moved to the start of the coda.

The reprise of subordinate-theme material in Op. 49/i returns the major mode, with the theme taking place in D major (beginning in measure 435). The theme unfolds similarly to the exposition and produces a D major PAC in measure 479. The subsequent closing section immediately shifts the material to D minor and produces its own concluding D minor PAC in measure 530, thereby presenting an issue for the ESC identification. The exposition's codetta material is expanded, and now forms the coda material which reinforces the global tonic, D minor.

Following a major-mode exposition subordinate theme, the recapitulation of Op. 87/ii retrieves the material in the tonic major (G major). As with its first presentation, the theme's antecedent phrase cadences in the minor submediant: in the exposition this represents a cadence in G minor (vi/III), while

[260] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 245-247.
[261] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 246.

in the recapitulation this represents a cadence in E minor (vi/i). The consequent reasserts G major in the recapitulation (as it does B-flat major in the exposition), and drives towards a G major PAC (ESC) in measure 77. The coda revokes the major mode, however, and the major-mode redemption is lost, with the movement restoring and concluding in the global tonic, G minor.

The tonal issues present in Op. 3/iv are more severe: the recapitulation concludes in the wrong key (not merely the wrong mode), and thus this movement more closely resembles the type of 'substitute' or 'false' ESC espoused by Sonata Theory.[262] The exposition's subordinate theme centres around an F-sharp minor (dominant) and A major (the dominant's relative major) relationship. The recapitulation also features two keys, as the subordinate theme retains its internal modulation, here from B minor to D major (III). The subordinate theme's conclusion in D major is thus another false ESC, as B minor is returned in the coda, beginning in measure 358 (following a brief local tonicisation of G major in the preceding closing zone in measure 341). The coda delivers the B minor PAC ESC in measure 372, which is therefore not only problematic because of the preceding 'false' ESC, but also because the ESC is therefore deferred to a parageneric space.

The first movement of Op. 18 has its own distinct tonal issues in its subordinate theme and ESC relationship. Similar to the exposition, in which the subordinate theme supports the major-mode while the closing section pre-EEC introduces the minor submediant (F-sharp minor), the recapitulation too fails to avoid succumbing to the minor-mode, and A major is aborted. The closing section enters (pre-ESC) in measure 337, and produces a V-i in A minor in measure 353, but this is slightly undermined by the preceding A pedal in the interior strings. A short codetta ensues, followed by a coda, based on main-theme material, which retrieves the tonic major. Thus, the exposition's sudden move to F-sharp minor foretells the particularly nihilist recapitulation which 'modally devastat[es]' the sonata form, and prophesises the potential for 'hope extinguished.'[263] The coda features an initial series of elided cadences, with the first structural cadence an A major IAC in measure 383. This movement does not quite typify Sonata Theory's example of the nonresolving recapitulation (in which no ESC is produced), because a delayed structural A minor cadence is located at the end of the closing section; nonetheless, this does not conform with the global A major tonic, supported by the coda, which ultimately 'saves' the sonata form from its potentially tragic ending. In this sense, the movement 'defers consolidation of the [global] tonic' to the coda.[264]

The recapitulation of Op. 44 No. 3's Scherzo is unorthodox. The reprise occurs, following a short development section, in measure 178 over a bass pedal, but is a heavily telescoped recapitulation. The material from measure 178 speaks for both the main theme and the subordinate theme, with elements of both themes melded together. This contrasts sharply with the situation in the exposition, where the

[262] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 246.
[263] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 312.
[264] Paul Wingfield, 'Beyond 'Norms and Deformations': Towards a Theory of Sonata Form as Reception History', 158.

material focuses on a series of regressions, with a type of initial false subordinate theme (measure 41), an extended fugato-based second transition, all before the true subordinate theme. The recapitulation is heavily truncated: in addition to the combined main theme and subordinate theme reprise, there is also no closing section. The ESC is nonetheless a decisive i:PAC in measure 213, leading directly to a coda.

There is no subordinate-theme zone in the recapitulation of Op. 87/iv.[265] Following the recapitulation's main theme, the movement produces an extended transition section which culminates on a B-flat major (global tonic) PAC in measure 155. This in fact represents the ESC, meaning that the material of the transition goes straight to the ESC without the second subject intervening. That is not to say that subordinate-theme material is entirely removed from the second half of the movement. Instead, Mendelssohn has displaced the theme into the coda (the theme beginning on the upbeat to measure 196, shortly after the onset of coda space in measure 191). Thus, the subordinate theme is not necessarily absent, but rather is not in its normal position. This does slightly problematise the ESC reading,[266] but a PAC is nonetheless apparent, even if not in an orthodox manner.

The structural cadence in Op. 12/iv fails to materialise in the recapitulation. The subordinate theme follows a similar outline to the exposition, albeit much of the A^1 section is removed. As with the exposition, the precise onset of closing material is obscured. Rhetorically, measure 210 seems to initiate the closing zone, but the material of the lower strings is a continuation of the violin I's idea, which begins as the subordinate theme starts to dissolve from measure 200. The subordinate theme therefore does not close cadentially. Similarly, the closing section also seems to lack a concluding cadential function. It appears that measure 223 acts as the conclusion of the closing section, and the beginning of a short codetta, but the motion to the tonic chord is shifted to an upper cello line, with the lower cello voice forcing the chord into first inversion. As earlier, this chord seems to indicate a rhetorical closure, if not a cadential one. Thus, the coda not only supplies the structural cadence, but the coda in this movement also rescues OP. 12 from a potentially tragic ending. Recalling the issues with the movement's tonality, the coda is the first major function that displays the piece's global tonic. It reasserts E-flat major, and thereby corrects the sonata-form space, which is based chiefly in C minor.[267]

The finale of Op. 20 features a 'climactic coda, the apotheosis of the whole composition, [which] unfurls in a series of three increasingly explicit references to the music of the first and second movements.'[268] Taylor is unmistakably correct in saying that the finale culminates in an extended process of cyclic recall, but the identification of the coda's onset is not commonly shared by Taylor and

[265] Thomas Schmidt-Beste suggests that the movement in fact resembles a 'monothematic sonata-rondo': Thomas Schmidt-Beste, 'Mendelssohn's Chamber Music', 147.
[266] This is somewhat similar to how the EEC in Op. 49/iii operates: the early arrival of a PAC at the end of the transition, but with no subsequent subordinate-theme zone. Thus, the transition's cadence acts as the EEC.
[267] Considered further by Benedict Taylor, *Mendelssohn, Time and Memory*, 205.
[268] Benedict Taylor, 'Musical History and Self-Consciousness in Mendelssohn's Octet, Op. 20', 131.

Schmalfeldt, with the former claiming measure 355 while the latter argues for measure 387.[269] Regardless of the coda designation, the issue with the subordinate theme and the ESC analysis arises from the theme's dominant pedal and final cadential motion. The theme is set over a V pedal, which for Schmalfeldt is itself a disqualifying factor for a recapitulation reading, and leads to a weak cadence: a first-inversion tonic chord, thereby producing a deceptive cadence.[270] I disagree that a dominant pedal is inadmissible evidence of a recapitulation subordinate-theme zone, given the persistence of destabilising methods in the recapitulation space, and the frequently withdrawn, moved, or diminished emphasis placed on local tonicisation and cadential articulation. Additionally, despite the presumed PAC being transformed to a deceptive cadence by the inversion of the tonic, the cadence in measure 355 does nonetheless provide thematic and formal closure for the subordinate theme, even if this does not represent the ESC. The first tonic structural support occurs in measure 371 (ESC), and is reemphasised in measure 387. Allowing for this material to be grouped under the recapitulation thereby designates the material between measures 355 and 387 as a closing section and codetta, and keeps the ESC in the recapitulation zone, rather than the coda space suggested by Taylor. Irrespective of the specific formal groupings, Mendelssohn's finale does use a highly 'irregular' structure,[271] by downplaying the return of main-theme material in the recapitulation, in favour of an integrated cyclic recall of the Scherzo's theme, by removing tonic support in the subordinate theme, by aborting the root-position cadence at the theme's conclusion, and by deferring root, tonic support deep into the recapitulation (or coda space, depending on the coda's identification).

The finale of Op. 49 features a subordinate theme which concludes similarly to the exposition, with an IAC (measure 228). As with the earlier material, this IAC does not represent the structural cadences, and the ESC (measure 234), as with the EEC, is produced post-closing section. The closing zone is comparatively shorter though in the recapitulation. Both recapitulation cadences in measures 228 (at the close of the subordinate theme) and 234 (the ESC) support the global tonic, D minor, meaning that the recapitulation generates the more tragic reprise, with previously major-mode material (the F-major subordinate theme in the exposition) now converted to the minor mode. This indicates that the emancipatory paradigm has been denied. As Sonata Theory suggest, 'if the once-major S begins in the minor mode' as it does with Op. 49/iv, 'the expectation is that the entire S/C block is likely to be minorized throughout',[272] which is also true of the movement, with the closing section and much of the ensuing material in D minor. Moreover, D minor is seemingly further confirmed by a cadence in measure 264. However, the material begins to modulate thereafter. Passing first through B-flat major, the coda achieves

[269] Benedict Taylor, 'Musical History and Self-Consciousness in Mendelssohn's Octet, Op. 20', 146 and Janet Schmalfeldt, *In the Process of Becoming*, 179.
[270] William E. Caplin, *Analyzing Classical Form*, 130.
[271] Friedhelm Krummacher, *Mendelssohn – der Komponist: Studien zur Kammermusik für Streicher*, 373-375, and Janet Schmalfeldt, *In the Process of Becoming*, 178.
[272] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 312-313.

modulation to D major (the parallel major) by measure 279. This major-mode shift does not prove a false hope, and the movement ends in the tonic major. Thus, despite the modally devastating recapitulation, a 'truer liberation' through a 'lasting conversion into the *tonic* major' is achieved, and this is the first example of a movement in Mendelssohn's private works that achieves freedom from the minor mode.[273]

Significantly, the second movement which produces this liberating major-mode turn is the finale of the Second Piano Trio, thereby suggesting a common compositional template between both Op. 49 and Op. 66. Despite not featuring a development section between the exposition and recapitulation, Op. 66/iv is significantly disrupted by a chorale after the onset of the main-theme reprise (acting as a displaced development), which Todd describes as a 'freely composed … "imaginary" textless' chorale, one of a set which 'Mendelssohn insinuated into several instrumental works.'[274] The chorale does not replace the subordinate theme, however, with the chorale interpolated between the reprises of the main and subordinate theme. The once major-mode thematic content of S is minorised in the antecedent phrase (beginning in measure 201), thereby returning in the global tonic (C minor). The consequent ends in measure 231 and material based loosely on the exposition closing section and codetta enters, but the consequent does not end cadentially. The ensuing section, based on the material from the exposition's closing zones, produces a C minor PAC in measure 251, acting as a possible ESC candidate, but this is undermined by the continuation of the material. The brief section post-PAC (the codetta) leads to a coda in measure 267, which produces a C major PAC in measure 327. Given that the movement concludes in the major-mode, this cadence likely acts as the ESC. The chorale occupies primary position in the coda, and together with its consolidation of C major as the movement's final tonic, hereby challenges the notion that the coda is an 'extrinsic addition.'[275] Moreover, the coda directly confronts Caplin's assertion that 'since the recapitulation brings a fundamental tonal closure to the movement, the coda rarely initiates any changes of tonality that might undermine its primary expression of after-the-end.'[276] Certainly, this statement is likely intended to be limited to Viennese classicism, but the overt disparity consequently reinforces the contrast. In this sense, some of Mendelssohn's codas, and the coda in Op. 66/iv in particular, reflect to an extent Scott Burnham's account of codas in Beethoven's repertoire:

> they strongly narrate the form, not only culminating the movements to which they are attached but standing apart from them, adding "The End" to their respective stories in such a way that one leaves the experience convinced that "The End" is more than some arbitrary cutoff point.[277]

[273] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 311 (emphasis original).
[274] R. Larry Todd, 'On Mendelssohn's sacred music, real and imaginary' in *The Cambridge Companion to Mendelssohn*, ed. by Peter Mercer-Taylor (Cambridge: Cambridge University Press, 2004): 180.
[275] Arnold Schoenberg, *Fundamentals of Musical Composition*, ed. by Gerald Strang and Leonard Stein (London: Faber and Faber, 1967): 185.
[276] William E. Caplin, *Classical Form*, 179.
[277] Scott Burnham, *Beethoven Hero* (Princeton: Princeton University Press, 1995): 142.

The last example of a modally-liberated minor-mode sonata form is the third movement of Op. 87. The recapitulation retrieves the major subordinate theme, but unlike the exposition where the theme's cadence (IAC EEC) ends suddenly in the parallel minor, the recapitulation's subordinate theme does not feature a structural cadence. The ESC is instead deferred. The material directly after this is based on a (D minor) retrieval of the main theme, appearing to act more as a coda than a closing section. The material culminates first on a D major IAC in measure 88 before achieving the PAC ESC in measure 94. Recalling that the recapitulation main theme does not feature a cadence, the first structural cadence is the D major PAC in measure 94, which therefore means that consolidation of the tonic is removed entirely from the recapitulation, and this cadence asserts tonic major confirmation (D major), rather than the initial tonic (D minor) proposed by the exposition.

3.5.2: Public works

The prevalence of subordinate-theme cadential deferral in the public works is reiterated in the recapitulation. Eight movements in this case study feature a structural cadence (ESC) deferred to the end of the closing section. The preponderance for cadential delay is even more acutely felt in three examples, in which the structural cadence is not evidenced in the recapitulation space, and is instead moved to the coda. One example features a reordered/reversed recapitulation, thereby placing emphasis on the main theme for attainment of the structural cadence. The remaining six movements, analysed first in this study, evidence a structural cadence pre-closing section, and therefore a clearer division between interthematic functions.

Similar to its exposition, the first movement of Symphony No. 5 produces a structural cadence (now an ESC) at the end of its recapitulation subordinate-theme space. The character of much of the material is altered, in the same vein as the recapitulation main theme which is treated to reductions in tempo, orchestration, and texture.[278] While the recapitulation main theme is treated to significant truncation, much of the subordinate theme is retrieved, inclusive of its opening major modality, but the consequent's contrasting idea (slightly varied in the recapitulation) begins moving back to the minor mode. The contrasting idea again fails to produce a cadence, emptying out onto i^6_3; significantly, the subsequent 'one more time' is taken from the main-theme's second cadence phrase, which is deleted in the recapitulation main-theme zone. Thus, this material is displaced to the end of the subordinate theme, whereupon a D minor PAC ESC is produced in measure 453. What follows sounds more like a codetta, and the energetic rhetoric typically associated with closing sections is located only in the coda.

It seems almost redundant to consider an analysis of the ESC in the Reformation's finale given that, in the recapitulation and in particular the coda, cyclic recall of the introduction's 'Ein' feste Burg ist unser Gott' chorale competes with, if not supersedes, the subordinate theme, thereby demonstrating that introductions in the nineteenth century are not merely preambles to the sonata-form proper.[279] Following a heavily truncated main-theme zone, the chorale is mobilised in measure 229 together with an expanded/extended version of the transition theme. The chorale medially tonicises F-sharp minor (measures 238-239), but the tonic (D major) is marshalled for the subordinate-theme return in measure 246, which is now imbued with a much more stately, celebratory character. Only the initial section of the material is returned (equivalent to the antecedent phrase), but the cadence, beginning over I^6_3, is considerably expanded: measures 264-294. The structural cadence is ultimately produced on the downbeat of the coda, thereby eliding the two spaces. As with the exposition, there is little in the way of a

[278] Benedict Taylor, 'Beyond Good and Programmatic: Mendelssohn's 'Reformation' Symphony', 10.
[279] Steven Vande Moortele, *The Romantic Overture and Musical Form from Rossini to Wagner*, 175.

closing section, although this may also be the resulting force of the chorale which dominates much of the sonata space. A secondary factor for the deletion of the closing section may stem from the main-theme material: Mendelssohn often uses main-theme motives to generate the closing zone, but as attested in the preceding analyses (in "Part Two"), the main theme is less thematically important in this movement, acting merely in the capacity of a first subject function, rather than a true main theme.

Symphony No. 2/i maintains correspondence between its EEC and ESC. The subordinate theme unfolds similarly to the exposition, albeit the tonal issues are removed in the recapitulation space, and the theme is presented in the tonic (B-flat major). Analogous with the exposition, the theme features a periodic design which culminates on a B-flat IAC in measure 293, which is subsequently undermined by the ensuing *animato* material, and is therefore not a structural cadence. The retrieval of main-theme material in 313 launches an ECP, which concludes with an emphatic PAC ESC in measure 321.

Die Hochzeit des Camacho's recapitulation subordinate theme is pre-empted in the transition, in a manner reflective of the way in which the recapitulation main theme is anticipated in the development's retransition. Initially suggestive of a fragmentary return of subordinate-theme material (beginning in measure 223), the subsequent return to transitional characteristics indicates that this is not a true subordinate-theme reprise. Once the theme proper is underway in measure 263, the theme unfolds similarly to the exposition, with antecedent and consequent functions, both of which are articulated by IACs. The consequent's IAC appears embedded in a larger unit, recalling main theme-based material, which downgrades its efficacy as a structural cadence. The ESC is ultimately produced in measure 305, but is structurally elided with the closing material.

The reprise of subordinate-theme material in *Die erste Walpurgisnacht* is problematised by the piece's monothematic design. Following the main theme's dissolution, thematic material is introduced in measure 250, leading to an emphatic tonic PAC in measure 283. However, despite ostensible thematic content, the section between measures 250 and 283 represents the transition, manifested by the dense liquidation of the theme from measure 258 onwards, which reduces the theme to nothing more than a repeated rhythmic (rather than melodic) motive. A particularly compressed version of the subordinate theme is thus reprised in measures 283-291, consequently evincing significant truncation. The PAC is returned at the end of this segment, which then proceeds to a brief codetta. If the exposition and recapitulation spaces are predominantly concerned with an almost repetitive succession of functions based on one thematic idea, then true thematic contrast in this piece is evident most especially in the expanded coda section, which eclipses the preceding recapitulation function, conferring a 'graphic interruption of the formal process … depict[ing] the transition from winter to spring.'[280]

[280] R. Larry Todd, *Mendelssohn: The Hebrides and Other Overtures*, 52.

The recapitulation subordinate theme of the *Trompeten-Ouvertüre* initially seems to correspond with that of the exposition, conveying a similar periodic design. Whereas the exposition produces a structural cadence following a series of 'one more time' units at the end of the consequent, no PAC occurs in the equivalent location in the recapitulation (measure 350), as the material stalls on a dominant pedal. Thereafter the piece does not move to the closing section; instead material from the development is recalled. The subordinate theme is reasserted in measure 380, thereby framing the development segment as a type of interpolated contrasting middle between two units based on the subordinate theme. The direct result of bypassing the first PAC, recalling the developmental material, and retrieving the theme, is a continued deferral of the ESC; nonetheless, the PAC is ultimately articulated in measure 396 pre-closing section, in a manner similar to the exposition's EEC.

Four symphonic movements feature an ESC post-closing section: Symphony No. 3/i, Symphony No. 3/iv, Symphony No. 4/i, and Symphony No. 4/ii. A comparable EEC and ESC analysis is evidenced in the Scottish Symphony's first movement. As with the recapitulation's main theme, the subordinate-theme zone is also truncated (recapitulation procedure 3), and its return is more fragmented. An initial pre-emptive S-gesture is sounded above the main theme's cadence (in the absence of a transition, the recapitulation moves directly from the main to the subordinate-theme zone), with the theme commencing thereafter. The antecedent is returned for the most part, but the PAC is removed, and only elements of the end of the consequent function are retrieved. Paralleling the exposition, the subordinate theme ends with a momentum gain in place of cadential articulation. The ESC is therefore located after the closing section and presented as an A minor (global tonic) PAC in measure 401. This movement is another representative example of a recapitulation eclipsed by its coda, which returns material from the introduction, thereby providing a sonata frame. Taylor has astutely recognised that this return 'effectively subordinat[es] the process of the opening movement to the events of the frame, as if … the question posed by the introduction has still not been answered or adequately resolved.'[281]

If the first movement is subservient to an introduction-coda frame, then the Symphony as a whole is subjected to an external frame which re-engages the 'unresolved formal question' presented in the first movement: 'but rather than returning to the unsatisfactory melancholy of the opening, this theme is transfigured in a major-key apotheosis, which similarly stands "outside" the main course of the work [in the second coda] but relates to and is the outcome of it.'[282] The finale of the Scottish Symphony features a substantial second coda which overshadows the preceding recapitulation, such that the importance of the ESC is de-emphasised. Nonetheless, the EEC and ESC analyses closely align, with the ESC presented post-closing section. Much of the subordinate-theme material is removed in the recapitulation,

[281] Benedict Taylor, *Mendelssohn, Time and Memory*, 265.
[282] Benedict Taylor, *Mendelssohn, Time and Memory*, 265.

specifically the exposition's interaction between E minor and C major. The recapitulation retrieves only the basic idea (and its repeat), now transformed from E minor to A minor. The basic idea repeat produces a weak A minor IAC in measure 287, but this is elided with a brief three-measure link which leads into the closing section, beginning over VI. Consequently, this motion is not structural. As with the exposition, the closing section produces the structural cadence (measures 338-339), after which the first coda section is presented. This coda material, particularly from measure 348 onwards, is set over a dominant pedal. In measure 362, the bass moves to a tonic pedal, and the dominant pedal persists in the upper strings. The first coda rotates through subordinate-theme material, until the second coda arrives in measure 397, marking the 'culmination of the symphony',[283] which Hepokoski describes as a 'phoenix-from-the-ashes epilogue … representing a grand hope, a swelling declaration of the historically conscious renewal of the symphonic tradition itself, whose "death" had just been enacted in the preceding movements.'[284] Thus, 'the sonata form proper [and the symphony as a whole] is laid out as a contingent process, a demonstration of an artifice that unfolds only under the authority of the prior existence of the frame.'[285] The jubilant claim of A major in the coda equally nullifies all previous instances of minor-mode victory: the first movement's minor-mode EEC and ESC; the deletion of major-mode material from the finale's subordinate-theme recapitulation; and the finale's minor-mode ESC. Moreover, despite the tonal disparity between the finale's EEC and ESC (which support C major and A minor respectively), the emancipatory 'promise' first presented by the major-mode EEC is ultimately fulfilled by the finale's coda.

The recapitulation subordinate theme in Symphony No. 4/i also proves unable to articulate an ESC, and a long-range deferral of the structural cadence ensues. One of the contributing factors affecting the theme's ability to successfully cadence is the recall of the development theme: an intrusion which occurs at measure 456. Until then, the subordinate theme unfolds similarly to the exposition, with a sentential period. The consequent's cadence is expanded (beginning in measure 427), and ultimately left open-ended by the incursion of developmental material. The original trajectory is retrieved with a sudden appearance of the closing section, beginning over a first-inversion tonic chord. The entirety of the closing material (measures 484-554) acts like a large expanded cadential progression, the aim of which is to achieve the structural cadence, which is eventually produced in measure 554. Thus, tonic evasion is perpetuated across the movement, with a continuous evasion and deferral of structural markers (examined further in "Part Four").

Despite the fact that Symphony No. 4/ii does not feature an EEC, and irrespective of the internal tonal issues in the recapitulation subordinate-theme space, the movement manages to produce an emphatic ESC. Tonal issues are not confined to the subordinate-theme reprise, given that the

[283] Benedict Taylor, *Mendelssohn, Time and Memory*, 263.
[284] James Hepokoski, 'Beethoven Reception: the Symphonic Tradition', 428.
[285] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 305.

recapitulation main theme commences off-tonic (in the minor dominant, A minor). The material corrects back to the global tonic (D minor), but the onset of subordinate-theme material produces a mode-switch, paralleling the major tonality of the exposition's subordinate theme. Despite commencing in D major, however, there are several internal issues: the antecedent culminates on an A major half cadence, while the consequent modulates to G major. Nonetheless, the consequent extension shifts the material back to D major, and an emphatic D major PAC is established in measure 86. Regardless of the emancipatory promise first proposed by the major subordinate theme, the closing section introduces another immediate mode-switch, the result of which is a D minor PAC in measure 90. Comparable with Op. 44 No. 2/i, Op. 3/i, and Op. 49/i, the mode-switch revokes the prior modal liberation, and undermines the original D major ESC. Thus, the ESC is reinterpreted as the D minor PAC at the closing section's conclusion.

There are four overtures which instantiate *S-Closure Category 2*, deferral of the structural cadence to a post-closing section position: *Ruy Blas*, *Die Heimkehr aus der Fremde*, *Ouvertüre zum Sommernachtstraum* and *Athalie*. *Ruy Blas* features a recapitulation subordinate-theme group in which the structural cadence is significantly delayed. Analogous to the exposition, the theme commences with the S^0 material following an infiltration of the introduction's motto. The content of the theme itself is subsequently retrieved, but the cadential motion in measures 304-305 is undermined by transference of the V-I motion to the cello. Therefore, this does not represent the ESC. The recapitulation now cycles first through material from the closing section and thereafter from the main theme (beginning in measure 341) which briefly returns the minor mode. The main theme is liquidated, and a standing on the dominant (and a retrieval of C major) is initiated at measure 359. The closing section returns again in measure 367, but this arrival does not coincide with a cadence as a result of the persistent bass pedal. Cadential motion is finally asserted in measure 379, although only as an IAC. The recapitulation now attempts to cadence again, leading to a repeated IAC event in measure 389. The first C major PAC is established in measure 401, thereby significantly distending the latter stages of the recapitulation through a continuous process of cadential deferral.

The subordinate-theme group of *Die Heimkehr aus der Fremde* retrieves both the ST1 and ST2 material. The period of ST2 is altered, however, and the concluding unit produces V-I motion in the bass in measures 266-267, where no such bass motion occurs in the exposition. Nonetheless, this cadence (at best an IAC) is over-written by a continuation of material from the end of the subordinate theme, thus embedding the IAC in larger processes. Following the closing section, a much more emphatic structural closure is asserted in measure 293, representing the ESC.

The recapitulation subordinate theme of *Ouvertüre zum Sommernachtstraum* occurs in the major mode. The theme is much the same as the exposition, wherein ST1 features an IAC in E major, while ST2 features two internal PACs, but lacks a final structural cadence before the closing section. The closing

material is comparably longer, but ultimately ends with an E major PAC ESC in measures 585-586, which invokes the emancipatory paradigm by generating a minor to major sonata-form space. This exemplification is initially undermined by the return of the minor mode in the coda, owing to a retrieval of main-theme material, but the coda ultimately succeeds in restoring E major, and the piece ends in the major mode.

The realisation that the sonata-form proper of *Athalie* is in many ways eclipsed by and subservient to the introduction and chorale material is exposed acutely in the recapitulation space. The reprise is signalled by the chorale interpolation, measures 371-376, after which the recapitulation returns only the subordinate-theme material, and even then, in shortened fashion. ST1 is retrieved triumphantly in the tonic major (D major), and the antecedent and consequent functions remain in, and articulate D major (contrasting the exposition in which the antecedent veers off to C major). The D major IAC at the conclusion of the consequent (measure 385) acts as closure for the subordinate theme, but is not the structural ESC cadence. This occurs instead in measure 393, with the PAC. This therefore presents a situation in which the subordinate theme features a concluding cadence, but this cadence is not emblematic of the ESC, which is deferred to a post-closing section position.

There are three examples in which deferral of the structural cadence is much more extreme, and rather than asserting an ESC post-C, the ESC is diverted to the coda space. Symphony No. 3's second movement features a heavily truncated recapitulation, in which the majority of the main theme is removed, and the transition is deleted. Thus, there is relatively little material between the start of the recapitulation and the onset of the subordinate-theme space, which occurs in measure 192. Moreover, the entry of the subordinate theme is particularly striking, as it affords the first motion to I (albeit this is not part of a cadential motion). Contrasting the treatment of the main theme, much of the subordinate theme remains, beginning with the presentation and continuation. The cadence phrase is different, however, to the exposition, wherein a short fragmentary unit concludes the theme (although the unit does not provide a satisfactory structural cadence). By comparison, the recapitulation subordinate theme leads to an expanded cadence phrase which is imbued with a much greater sense of tempo and directionality. Nonetheless, the recapitulation's subordinate theme also fails to produce a structural cadence, concluding with a deceptive closure instead. An equally exuberant closing section, sustaining the energy produced in the cadence phrase, is provided in the recapitulation prior to the codetta, which begins in measure 221 (whereas the exposition moves directly to the codetta material). The closing section is articulated by an F major IAC in measure 220. Other than the two internal HCs and the deceptive motion at the end of the subordinate-theme space, this is the first form of cadential tonic support in the recapitulation. The structural cadence, however, is deferred into the coda. An embedded PAC is first produced in measures

232-233 (this is not structural as the material continues thereafter), after which the PAC ESC is articulated in measures 240-241.

Cadential confirmation of the tonic is removed entirely from the recapitulation of *Die Hebriden*, which features sharply compressed main and subordinate-theme zones. Having not provided a main-theme cadence and with much of the transition deleted, the subordinate theme emerges in measure 202, now presented in the tonic major. Recurrence of the theme is brief, however, and further truncation is evidenced in the movement by deletion of the closing material. The subordinate theme moves directly to the coda in measure 217, having not provided a tonic cadence. The tonic is finally asserted in the coda space, first by a B minor IAC in measure 258, and finally by a PAC in measure 264, thereby divorcing cadential motion from the recapitulation, and elevating the coda as an essential component of tonic confirmation.

The recapitulation of *Die schöne Melusine* retrieves the introduction theme in F major in place of the main theme. Therefore, the start of the recapitulation does not instantiate the modality at the start of the sonata-form space (F minor). The subordinate theme is also irregular, as it commences off-tonic, in D-flat major. Internally, the subordinate theme is periodic; the antecedent ends with a D-flat major PAC, but the consequent soon gives way to F minor, and for the first time since the exposition main theme, F minor is returned. As with the exposition, however, the subordinate theme's consequent phrase dissolves, in advance of an F minor cadence. The closing section, based on the main theme, continues in F minor, but the corresponding cadence from the end of the exposition's closing section is deferred. The closing section dies out having not achieved a cadence, and the coda subsequently enters in F major. This coda produces three F major PACs, and is therefore reflective of another coda into which the structural cadence is deferred. Moreover, despite the prevalence of material in the minor mode, this piece is particularly striking for the fact that no F minor PAC ever materialises, significantly undermining the structural integrity of F minor itself.

Finally, the recapitulatory issues in *Meeresstille und glückliche Fahrt* are considered further in "Part Four: Conclusions", but to examine them in brief, the overture features a reversed/reordered recapitulation in which the reprise of subordinate-theme material occurs prior to the main-theme material. The subordinate theme commences in the tonic (D major) in measure 378 but is destabilised as a result of a persistent dominant pedal, which remains unresolved until the main theme's reprise. Moreover, despite the fact that the exposition's subordinate theme features cadential closure, the recapitulation dissolves having not produced a cadence. The nature of the reordered material means that the subordinate theme dissolves direct to main theme, which begins in measure 400, and the urgency to secure structural, cadential support is compounded by this delay.

3.6: Conclusions

By way of some brief conclusions, so as not to pre-empt the more substantial conclusions that follow, Mendelssohn's subordinate-theme spaces continue to evince a propensity for cadential obfuscation and deferral. Medial caesura usage is evidently more varied in the private genres. Of particular prevalence are variations on the 'normative' cadential options, double medial caesura events, instances of unusual cadential practice, and indeed there are several examples in which no medial caesura event takes place. Moreover, several of the movements that convey a 'normative' medial caesura nonetheless feature rhetorical, melodic, or harmonic processes that make their identification more indistinct, and examples of 'clear rhetorical breaks' are few. There is a propensity for tonal/modal discontinuity between MC and S spaces, in which the tonality/mode prepared by the medial-caesura space is declined, in favour of a modulation/immediate switch to another (often related) key, and the private genres instantiate several examples of minor-mode movements which attempt to engender emancipatory paradigms by engaging either 'redemptive' or 'tragic' endings.

By contrast with the private works' diverse practices, medial caesura organisation in the public genres is comparably more 'normative', the grounds for which may lie in the nature of the thematic cadential treatment in the overtures and symphonies. Cadential articulation of main and subordinate themes is more infrequent, with the result that the medial caesura periodically provides the only overt point of interthematic division in the first part of the exposition space, particularly in those movements in which the main theme dissolves, or concludes non-cadentially. That is not to say that the medial caesuras compensate for the lack of main-theme cadence: for the most part, public-genre medial caesuras are presented in the new key (V:HC, III:HC, v:HC), meaning that they do not offset prior tonic/cadential evasion/deferral. Their more conventional expression may be a by-product of the greater emphasis placed instead on novel approaches to thematic organisation.

A highly proliferative agenda is evidenced in the subordinate themes in the same manner as the main themes. The degree to which the subordinate theme can be considered 'loose' in Caplin's terms is increased considerably, not only because of intrathematic processes, but the delay/deletion of the cadence means that the subordinate-theme zone is left inherently 'open', often merged with the closing section (and/or the codetta), and the significance and stability of the EET and EST is undermined. Both the public and private genres instantiate postponement of the subordinate theme cadence, with a partiality for *S-Closure Category 2*. The preference for deferring the EEC to a post-closing section position is evidenced in sixteen examples across the study (there are eight examples of *S-Closure Category 2* in the private works, and another eight examples of *S-Closure Category 2* in the public works). Moreover, a significant portion of the movements do not feature an EEC, *S-Closure Category 3*: nine examples in the private works, and one example in the public works. The ESC is treated similarly, although the method of deferral

in certain instances withdraws cadential articulation from the recapitulation, and moves assertion of the tonic, or expression of the structural cadence, to the coda; the implications of which must be a reconsideration of the coda's significance. The decision to defer/delay the ESC in particular has several consequences, including the destabilising of the recapitulation space, the disruption of the Sonata Theoretical trajectory, and goal-orientation, which are considered in further detail in "Part Four".

Part Four: Conclusions

4.1: Novel Approaches to Thematic Syntax and Form, and Cadential Deferral

Mendelssohn's sonata-form practices owe much to classical syntactic paradigms, but his music testifies to the growing trend in the nineteenth century for novel methods of syntactic organisation. Mendelssohn's syntactic experimentation engages functional expansion, truncation, compression, deletion, elision, and coalescing, reflective of the type of syntactic proliferation theorised by Horton.[286] This engenders a phrase-structural complexity through fresh functional combinations, and overlaid functional types, which produces a more detailed, multi-layered thematic syntax. The present study has specifically attempted to demonstrate how Mendelssohn makes structural support subservient to a continuous, proliferative agenda through a variety of means.

First, his themes engage extensively with processes of expansion and extension, the former involving the lengthening or organic enlargement of internal units, while the latter marshals additional, extra functions, on the same level of the grouping hierarchy, 'after a function has already been expressed.'[287] Therefore, extension at a lower level of the grouping hierarchy impacts the expansion of the intrathematic types themselves. Specifically, the plurality of functions used in periodic sentences, double periods, compound periods, sentential periods, and so forth, generate protracted intrathematic and interthematic functions. This has several implications, which, by way of example, can be demonstrated in Mendelssohn's reimagined antecedent and consequent functions. Caplin notes that 'thematic organization based largely on … cadential differentiation' is possible, and specifically with reference to the period theorises that 'if an initial unit ending with a weak cadence is repeated and brought to a fuller cadential close, then we can say … that the first unit is an *antecedent* to the following *consequent*.'[288] This duality, the weakly-closed antecedent versus the strongly-closed consequent, is not always borne out in Mendelssohn's music: antecedents frequently engage authentic closure, while cadential closure in consequent phrases is commonly derailed. There are several examples of strongly-closed antecedents in the repertoire, but in many cases the material leads to a stronger close because of the dense proliferation within the antecedent itself: Op. 87/ii, for instance, features a PAC at the end of the exposition main-theme antecedent, stemming from the several periodic layers therein; similarly, the Trumpet Overture features an antecedent articulated by a PAC, but the basic idea + contrasting idea configuration itself resembles an antecedent + consequent thereby making the internal consequent's and the overall antecedent's cadence equivalent; and several of the symphonic movements, such as Symphony No. 5/iv,

[286] Julian Horton, 'Formal Type and Formal Function in the Postclassical Piano Concerto', 85.
[287] William E. Caplin, *Classical Form*, 20.
[288] William E. Caplin, *Classical Form*, 12 (emphasis original).

Symphony No. 3/i, and Symphony No. 2/i, feature extensive antecedent functions, with several periodic and/or sentential interior structures. This extensive reworking and rebuilding of antecedent functions is, in many ways, not analogous to the types of periodic antecedents theorised by Caplin. Although comparable with classical precedents, Mendelssohn's antecedents surpass or transcend the boundaries (both durationally and cadentially) of their forebearers.

Similar revisions of the consequent can be extrapolated. Mendelssohn's music often features an expanded consequent that is longer and open-ended. First, the consequent space is often larger than the preceding function (such as Op. 12/i, Op. 20/i, Op. 49/iv, and Symphony No. 4/i) thereby creating an unbalanced period. The reasons why the consequent space is larger is either because of a frequent conclusion on a weak cadence (a half close) or failure to produce any form of cadential material, which thereby necessitates further syntactic units ('one more times', expanded cadential progressions, abandoned and evaded cadences, continuations, and so forth). The addition of subsequent units not only leads to the frequent reinterpretation of preceding material (as perhaps a periodic or sentential antecedent, or a periodic presentation), but fundamentally alters the priority of cadential acquisition. Thus, despite surface convention, the theme is inherently imbued with a sense of structural instability, stemming from the challenge of where or when the structural cadence will emerge. Sustained re-engagement of intrathematic functions thereby has direct impact on the proportion of interthematic functions (and the relationship between interthematic functions) and also on the articulation of interthematic boundaries. That cadences are central to this novel approach is self-evident as, beyond merely a symbol of closure, cadences are essential to the 'experience of reaching a goal.'[289] However, as Karol Berger astutely assesses:

> during the nineteenth century punctuation gradually lost its fundamental importance for the theory of musical form … Once convention became suspect and romantics began to praise uniqueness above all else, it was inevitable that cadence, regarded as the most conventional of all musical phenomena, would give way to theme.[290]

In their study on phrase expansion in Mendelssohn's music, Brian Edward Jarvis and John Peterson extrapolate two alternative paths that contribute to this proliferative tendency: detour and reroute.[291] They contend that in tonal music, 'a temporary deviation from the initial path is called a "detour", while a more permanent change of direction is called a "reroute".'[292] The 'goal' to which these

[289] Karol Berger, *Bach's Cycle, Mozart's Arrow: An Essay on the Origins of Musical Modernity* (Berkeley and Los Angeles: University of California Press, 2007): 180.
[290] Karol Berger, *Bach's Cycle, Mozart's Arrow: An Essay on the Origins of Musical Modernity*, 182.
[291] Brian Edward Jarvis and John Peterson, 'Alternative Paths, Phrase Expansion, and the Music of Felix Mendelssohn' in *Music Theory Spectrum* 41/2 (2019): 1-31.
[292] Brian Edward Jarvis and John Peterson, 'Alternative Paths, Phrase Expansion, and the Music of Felix Mendelssohn' 4.

detours and reroutes aims is still the cadence. In addition to these concepts, we can go one step further: Mendelssohn's phrase expansions also frequently derail or demote cadential closure such that, in addition to detours/reroutes, the material is pushed towards an entirely new agenda. I have tried to extrapolate instances of themes ending with so-called 'momentum gains' which either closely align the concluding and initiating functions of MT/TR and S/C, or which propel the function of themes past the point of the cadence. In the first instance, the cadence is structurally evident, but subsumed within surface processes that carry over into the next function. In the case of the latter, the theme, in a sense, overshoots the mark: the material in the theme's latter stages creates an excess of energy such that the necessity for cadential articulation seems marginalised, and the theme merges with the next function having not achieved closure. Not only does the latter produce functional elision, but in both circumstances the units which specifically engage the 'momentum gain' often provide a sense of rhetorical elision, bridging the gap between the theme-like material and the characteristics associated with either transition (in the case of the main theme) or closing section (in the case of the subordinate theme).

The first movement of Op. 80 epitomises the first case. The stormy main theme sets off with a loose periodic structure, but the fraught nature of the antecedent, and the consequent's basic idea, is eliminated in the consequent's contrasting idea, which emerges as a much more lyrical, *piano* reversal of the almost-distressed opening. Rather than dying away into a cadence, Mendelssohn reinvigorates the thematic space shortly after the onset of the cadence, noticeable particularly from measure 33 onwards. The music is propelled first to a deceptive cadence before the PAC is secured. Thus, cadential articulation is maintained at the end of the main-theme zone, but rhetorically the theme's cadence phrase and the transition are more unified as a result of the momentum injected into the end of the thematic space.

The overture *Meeresstille und glückliche Fahrt* evidences the second case, whereby the latter stages of the theme merge seamlessly into transition function, aided by a dissolving consequent. The first section of the theme, a compound basic idea, contains sentential features in which the presentation concludes with a plagal cadence in measure 113. The reduction in rhythmic and motivic intensity at the end of this cadence phrase is facilitated by liquidation of the preceding material. In order to reopen and continue the thematic space, the continuation phrase sees a gradual increase in rhythmic activity, dynamics, and scale of orchestration, all of which builds to a *fortissimo*, *tutti* consequent phrase, beginning in measure 129. Retrieval of the basic idea accomplished, the momentum propels the material beyond the thematic function, which proves unable to cadence, and instead dissolves into transition. Rhetorically there is little distinction between the consequent phrase and the transition itself, and the presence of transition function is chiefly signalled by the absence of correspondence with the antecedent material.

Although there is no direct correlation, this process of rhetorical elision echoes the 'multitempo introduction' theorised by Vande Moortele, in which the material following a slow introduction changes to the faster tempo before the exposition proper begins.[293] Similarly, some of Mendelssohn's themes feature a shift in the perceived tempo (often coupled with, and as a result of, expanded orchestration, dynamics, texture, etc.) before the end of the thematic zone. This process is also not dissimilar to 'diversion spans', in the context of detours and reroutes, in which 'a listener senses that the diversion happens gradually over time, rather than in one specific location',[294] albeit the rhetorical elision proposed here does not require any return of preceding material or cadential articulation. Mendelssohn's themes therefore evidence the type of 'urgently forward-moving formal process' which Carl Dahlhaus associates with Beethoven's symphonies,[295] and the processes of directionality which Nicholas Marston identifies in Beethoven's variation form: 'a gradual increase in elaboration … coupled with proportional diminution of note values: the progressive increase in the surface rhythmic figuration created the effect of a gradual acceleration in tempo.'[296] Ultimately, the by-product of the rhetorical elisions addressed here is that cadences are deferred, downplayed, or deleted, all in the pursuit of a sense of continued onward momentum and rhetorical continuity between interthematic functions.

The effects of proliferation, rhetorical continuity, and reframing of cadential significance are structural instability and functional ambiguity, both of which are closely associated. By exploiting proliferative techniques, Mendelssohn capitalises on the capacity for cadential deferral and delayed consolidation of the tonic (either global or local), which perpetuates the drama of tonal resolution. This brings form-functionality directly into conflict with harmonic and structural support. Despite marshalling seemingly coherent, conventional intrathematic units, Mendelssohn's radical treatment therein undermines clear interthematic groupings, primarily because of dense proliferation and systematic displacement and deletion of the structural cadences that demarcate the interthematic functions. Mendelssohn's music consequently engenders a process of continuous reorientation of functionality, because the traditional markers that delineate and divide interthematic spaces are profoundly altered.

Thematic recall is another practice which contributes to functional indeterminacy and ambiguity, which primarily manifests in the subordinate-theme zones. The inability on the part of the secondary thematic content to cadence necessitates added, auxiliary functions in the same manner as those observed after the main theme's open-ended consequents. Whereas the main-theme zone typically employs further continuation or varying cadential segments (ECPs/OMTs), the subordinate theme customarily draws on material from the main-theme zone if a structural cadence has not been achieved.

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[293] Steven Vande Moortele, *The Romantic Overture and Musical Form from Rossini to Wagner*, 127-133.
[294] Brian Edward Jarvis and John Peterson, 'Alternative Paths, Phrase Expansion, and the Music of Felix Mendelssohn', 16.
[295] Carl Dahlhaus, *Ludwig van Beethoven: Approaches to his Music*, trans. Mary Whittall (Oxford: Clarendon Press, 1991): 90.
[296] Nicholas Marston, '"The Sense of an Ending": Goal-Directedness in Beethoven's Music', 90.

This recall of main-theme material not only injects momentum into the latter stages of the exposition, but also the precise function of the material is not always distinct. In some cases, the main-theme retrieval acts as a closing section pre-structural cadence (*S-Closure Category 2*), while in other instances, the main-theme retrieval is succeeded by a separate closing zone, such that the retrieval instead seems to act within the boundaries of the subordinate theme itself (such as Op. 44 No. 1/iv and Symphony No. 2/i). This creates a vagueness over the functional identity of retrieved main-theme material in any given movement, as to whether the segment is purely a component of the S cadence, or whether it also functions as a pre-cadential closing section.

The result of these ambiguities is that the distinction between interthematic functions is blurred and formal certainty is diminished, stemming from the decision to abandon or move the cadential markers of the exposition and recapitulation spaces. In particular, this explicitly challenges the assumption that main themes are tight-knit and that they will conclude with a cadence. There are several examples in which a ternary form main theme commences structurally tight-knit and stable (wherein the A section features a tonic cadence), but concludes structurally unstable because of the open-ended A^1 material which transforms the once tight-knit space into a looser organisation merged with transition function (for example, the ternary form main themes of Op. 44 No. 1, Op. 49, and Op. 66). Persistent redeployment of continuation and cadential functions thus loosens the thematic space. Mendelssohn's sonata forms therefore do not pose a diametric opposition between tight-knit main themes and looser subordinate themes. Instead, the conflict is internal to each theme: between the apparent veneer of intrathematic clarity and interthematic instability; between motivic and thematic coherence and cadential evasion; and between the supposed facile nature of his compositional style and the acutely Romantic approach to syntax and cadences.

Proliferative techniques are not the only method through which interthematic boundaries are blurred and cadences are altered; truncation also has a considerable impact on interthematic articulation, particularly in recapitulation spaces. First, truncation is one procedure through which the inherently reiterative, repetitious nature of the exposition-recapitulation dynamic is overcome, 'to avoid … the "paratactic" construction of earlier music.' [297] Second, truncation invariably shifts the focus of recapitulation spaces to the end of the movement, particularly where recapitulation beginnings are destabilised through the systematic removal of cadences. If the central teleology of sonata form is the resolution of tonal tension through the transformation of the off-tonic EEC into a tonic ESC, then this tension is further magnified when main theme and transition zones are disrupted because functions are removed or deleted.[298] Despite frequent instances of structural destabilisation in the exposition, the

[297] John Rink, '"Structural momentum" and closure in Chopin's Nocturne Op. 9, No. 2' in *Schenker Studies 2*, ed. by Carl Schachter and Hedi Siegel (Cambridge: Cambridge University Press, 1999): 119.
[298] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 250.

exposition main themes nonetheless often maintain a veneer of cohesion. The same cannot be said for the recapitulation, which often omits functions, retrieves only continuation or consequent units, returns non-successive portions of functions, or which utilises thematic fragmentation. Truncation therefore produces a sense of end-orientation in the sonata form, driving towards the conclusion of the recapitulation, and the coda. This parallels the type of 'structural momentum' proposed by John Rink with regards to Chopin's and Field's Nocturnes, in which the ends of works are permeated with a sense of 'urgency that helps overcome less definitive moments of closure earlier on.'[299] Moreover, this relates the processes of rhetorical elision and end-orientated structural delay as being equivalent devices that 'overcome formal divisions', if not transcend and remove interthematic boundaries altogether.[300] While in the short-term truncation of the recapitulation space (evident particularly in Mendelssohn's recapitulation main themes and transitions) balances the extensive proliferation of the exposition, this is ultimately countermanded by Mendelssohn's tendency for expansive codas. Despite Schenker's assertions that the coda is a foreground phenomenon, 'no matter what its extent or purpose may be',[301] and in direct opposition to the Harvard Dictionary of Music's definition of the coda as a 'concluding section extraneous to the form … any concluding passage that can be understood as occurring after the structural conclusion of a work and that serves as a formal closing gesture',[302] Mendelssohn's codas have significantly more structural importance. In certain cases they represent the first function in which the tonic is secured, the space to which the structural cadence (ESC) has been deferred, and/or the focal point of the resolution for teleology initiated and sustained across the whole movement. Their elevation as a means of tonal and cadential resolution therefore directly contravenes their relegation as a 'parageneric space' by Sonata Theory (considered further below).

Syntactic truncation is just one method through which the recapitulation is destabilised. The analyses presented in this thesis evidence several categories of recapitulation procedures, two of which specifically provoke instability: elision of the development and recapitulation spaces (recapitulation procedure 1); and dissociation of thematic and harmonic reprise (recapitulation procedure 2). Elision of the two large-scale functions is not confined to brief cadential overlapping (where the chord of resolution might take place on the downbeat of the recapitulation, for example). Several developments feature retransition spaces that utilise pre-emptive, anticipatory fragments of the main-theme motives. These prefigurations conceal the true opening of the recapitulation space, by blurring the boundaries between the two large-scale functions. By way of example, this process is evident in Op. 44 No. 2/i, in which a recurring ascending arpeggiated figure, based on the main-theme opening motive, is signalled before the

[299] John Rink, '"Structural momentum" and closure in Chopin's Nocturne Op. 9, No. 2', 122.
[300] John Rink, '"Structural momentum" and closure in Chopin's Nocturne Op. 9, No. 2', 122.
[301] Heinrich Schenker, *Free Composition*, ed. and trans. by Ernst Oster (New York: Longman, 1979): 129.
[302] "Coda", in *The New Harvard Dictionary of Music*, ed. by Don Randel (Cambridge, Massachusetts: Belknap, 1986): 178.

reprise itself. Similar instances of elision can also be found in, among others, Op. 44 No. 2/iv, Symphony No. 3/ii, and *Die Hochzeit des Camacho*.

In other cases, the elision is a by-product of a disconnect between the reprise of the thematic content and the arrival of harmonic support. Again, Op. 44 No. 2/i evidences this process: the thematic reprise begins over a dominant pedal, and the tonic is not secured in the bass until four measures later (part-way through the antecedent phrase). This not only overlaps the two large-scale functions, but creates an immediate tonal instability by deferring, even if only briefly, confirmation of the tonic. The situation is more advanced in *Meeresstille und glückliche Fahrt*, in which an unsupported subordinate theme commences the recapitulation. An example of a reversed recapitulation, the recapitulation space returns the subordinate theme first, but presented over a dominant pedal. Bass support for the tonic (D major) is systematically deferred until the start of the main-theme zone, thereby destabilising a much larger section of recapitulation space.

Meeresstille und glückliche Fahrt exemplifies the type of reversed/reordered recapitulation reading expounded here, as opposed to the Type 2 sonata.[303] Reordered recapitulations, much like truncation, avoid 'large-scale sectional parallelism.'[304] In this example, Mendelssohn's subordinate theme acquires the main theme's form functionality; the main theme reprise itself constitutes more than just a 'third, often incomplete coda rotation' or return,[305] and must be regarded as acting in a functional capacity prior to the coda space, not only because the piece contains its own functionally separate coda, but by virtue of the extensive material between the main theme and coda (specifically the return of the transition theme), and because a Type 2 reading packages off and isolates the majority of the material as a functional afterthought. Vande Moortele's examination of the reordered recapitulation is thus much more compelling, not least because it situates composition in contemporaneous theory and practice: 'the type [Type 2 sonata] is never discussed in the nineteenth-century theoretical literature … awareness of the "Type 2 sonata" as a formal type in its own right was non-existent, even for eighteenth-century works.'[306] Most especially, the Type 2 sonata reading seems at odds with Sonata Theory's theorisation of the parageneric space, the 'not-sonata-space.'[307] If the post-S return of main-theme material is grouped under the bracket of coda, then it stands to reason that the 'not-sonata-space' now attains far greater significance in any given movement, and in many cases overshadows or dwarfs the true exposition-development-recapitulation paradigm. Returning to *Meeresstille und glückliche Fahrt*, a substantial introduction, the first of the parageneric frames, occupies a prominent position. The sonata-form proper commences with

[303] I distinguish between those movements in which a true main-theme reprise occurs post-S, and those in which no substantial return of the main theme exists. In the case of the latter, some elements of main-theme material might exist in closing sections/coda, but in the reversed recapitulations I have identified herein, a functionally separate main-theme zone (standing apart from C/coda spaces) exists, and it is these pieces to which the following distinction between reversed recapitulation and the Type 2 sonata is directed.
[304] Steven Vande Moortele, *The Romantic Overture and Musical Form from Rossini to Wagner*, 236.
[305] Peter H. Smith, 'The Type 2 Sonata in the Nineteenth Century: Two Case Studies from Mendelssohn and Dvořák', 104.
[306] Steven Vande Moortele, *The Romantic Overture and Musical Form from Rossini to Wagner*, 237.
[307] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 281.

a mostly conventional exposition, with main theme, transition, subordinate theme, and closing section functions, albeit the treatment therein is less convincingly 'conventional'. The so-called 'Type 3 sonata' persists until the start of the recapitulation in measure 378, whereupon Sonata Theory would likely claim that the Type 3 is converted to a Type 2 sonata, stemming from the fact that the 'recapitulation' begins with subordinate-theme material, and by definition the recapitulation must be launched by a main theme. The efficacy of the recapitulation is further undermined by the persistent bass pedal (V) which continues throughout the subordinate theme, and which remains unresolved. Nonetheless, if the main-theme reprise from measure 400 onwards is relegated to the coda, then the coda occupies the remainder of the piece, which spans to some 517 measures, thereby couching the sonata-space within a parageneric frame of comparable size and weight. The credibility of a reversed or reordered recapitulation is thus elevated.

4.2: Structural Cadences in Mendelssohn's Themes

In the expositions of the chamber works, there is greater deployment of main-theme cadences, albeit a high proportion of which are weak or off-tonic. In the thirty-eight chamber movements analysed, twenty-nine produce a concluding cadence, thereby strongly supporting the view that Mendelssohn's exposition main themes emphasise some form of cadential articulation. Therein, however, only nineteen culminate in a strong, tonic PAC. Six movements end with a weak PAC motion, as a result of the properties of harmonic, functional, and rhetorical elision outlined previously, and four movements feature an alternative concluding cadence to the PAC, namely the IAC. There are thus nine examples in which either functional transformation diverts material to transitional function before a structural cadence, or in which rhetorical formal closure is asserted even if cadential properties are absent.

The results are much more varied in the public works, thereby suggesting a compositional divide between the public and private spheres. Of the eighteen movements analysed, only five exemplify *Closure Category 1.a*, in which the main theme culminates on a strong PAC. There are four examples of the weak PAC closure, and one example each of a non-PAC tonic cadence (i.e., IAC closure), and an off-tonic cadence. The remaining seven movements thus align with functional transformation or rhetorical rather than cadential closure.

The recapitulation main themes by comparison are significantly more destabilised, as a result of the factors highlighted above. In the chamber works, only five movements categorically produce a strong PAC option. The majority of the exposition movements which marshal the strong tonic PAC type are now downgraded to a weak or alternative category, or their main themes do not produce a structural cadence. Instances of functional transformation are considerably more evident: twenty-one movements now instantiate one of the *Closure Category 2* varieties, in which the processes of functional transformation

act on consequents, continuations, cadences phrases, or at the level of multi-part themes. There are also now five examples in which the cadence is evaded or abandoned.

Strong PAC closure is comparably less evident in the exposition main themes of the public works, but the impulse to remove cadences in the recapitulation main theme is shared by the symphonic and overture genres. Only one piece (the *Trompeten-Ouvertüre*) evidences a strong PAC option, and even then correspondence with the exposition is not present as the recapitulation structural cadence is an elevated internal cadence (after which the remaining main-theme material is deleted). There are considerably more examples of becoming, which now account for nine movements.

There are several examples in both the public and private genres in which teleological processes span the whole movement form, by delaying confirmation of the tonic until the end of the recapitulation or coda space. These movements typically feature a main theme that fails to cadence in both exposition and recapitulation, and given that the exposition subordinate theme is off-tonic, the tonic itself is continually destabilised until late in the movement (examples of which are considered in the next section).

There are certain instances in which cadential deferral stretches across the whole work, with a strong main-theme cadence reserved for the work's finale. In these examples, the first movement and finale, when taken together, demonstrate a kind of frame around the whole work, akin to 'withholding until the finale the kind of strong tonic affirmation that would normally be expected at the beginning of such a work' identified by Marston in relation to Beethoven.[308] Therein both the exposition and recapitulation main themes in the first movement omit structural closure, and main-theme structural support for the global tonic is deferred until the finale, which creates a form of main-theme specific teleology spanning from the first movement through to the finale. The first example is Op. 13. The main theme is denied cadential support in the first movement's exposition and recapitulation, as functional transformation dissolves both instances of the main theme into the transition. The first time a main-theme zone achieves structural closure is therefore displaced to the finale, in which the exposition produces a PAC. Even then, the PAC is comparably weaker, corresponding with *Closure Category 1.b*. The remaining three works in which this whole-movement frame can be extrapolated are Op. 49, Op. 66, and Op. 87. In all three opening movements the exposition and recapitulation produce main themes which correspond with *Closure Category 2.c*, in which the processes of functional transformation/becoming merge the main theme and transition zones. The inability of the first movement to produce a main theme structural cadence is compensated by the finale, and all three movements feature an exposition in which the main theme concludes with a strong PAC closure (*Closure Category 1.a*). The fact that these processes are evident in these three specific works, Op. 49 and Op. 66 in particular, is somewhat significant given the close relationship each has as representatives of modally-liberated (minor to major) sonata forms.

[308] Nicholas Marston, '"The Sense of an Ending": Goal-Directedness in Beethoven's Music', 94.

Although in the case of Op. 87 this occurs in the third movement, it is compelling that the finales of Op. 49 and Op. 66 should share this practice.

The trend for cadential articulation at the conclusion of expositional themes is continued in the subordinate-theme zone, admittedly to a lesser extent than in the main theme. Of the thirty-eight chamber movements, only twenty subordinate themes are supported by a structural cadence: thirteen feature a strong PAC, three feature a non-PAC cadence in the local tonic, while the remaining four movements in *S-Closure Category 1* conclude with a cadence, but the cadence is tonally/modally at odds with the preceding thematic material (either all of the theme's content, or a substantial segment therein). The processes of cadential delay manifest much more overtly in the public genres, in which only two movements produce a strong PAC, one produces a weak PAC, three feature a non-PAC cadence in the local tonic, and three provide for a non-tonic cadence.

A large proportion of the movements from both the public and private spheres feature a delayed structural support, in which the EEC occurs after the closing section (*S-Closure Category 2*). These movements therefore strongly evidence the properties outlined regarding cadential deferral, structural ambiguity, instability of interthematic function, and end-orientation. Ten movements lack a structural cadence in the concluding functions of the subordinate theme and in any closing material that follows (and therefore produce no EEC candidate). Two of these movements are found in the Op. 80 quartet (movements i and iv), which is significant for its association with grief and personal tragedy, and perhaps reflects these qualities by engaging processes that avoid sonata-form conventions. The processes of functional ambiguity are especially topical in Mendelssohn's subordinate themes, demonstrated by the high number of movements which evidence either the EEC and ESC post-C, or which do not feature an EEC at all. By downplaying traditional markers of interthematic distinction, and by utilising cadential dislocations and formal elisions, Mendelssohn obscures a strict differentiation of interthematic function.

One of the biggest issues facing recapitulation subordinate themes (particularly in the private genres) concerns the tonality/modality of the theme's content and the ESC. The fundamental task of the recapitulation is to correct the off-tonic ESC, an action which represents the 'generic goal towards which an entire sonata form strives.'[309] Mendelssohn marshals several tonal or modal challenges which directly confront and engage the issues of tonal resolution. First, through recall of material in the 'wrong' mode, which questions the authority of the ostensible tonic. Second, in movements in which an apparent modal emancipatory paradigm is initiated, he rescinds the 'hope' of the major-mode by reverting to the minor mode, either before the EEC is articulated or, in a uniquely tragic manner, by cancelling a previous major-mode ESC through modal decay to the tonic minor. In yet other examples, the perpetuation of tonal conflict remains unresolved in the recapitulation, thereby engaging the actions of end-orientation by

[309] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 250.

shifting focus to the coda. Tonal/modal issues are less evident in the public genres, but the tendency for end-orientation, teleology, and cadential deferral remains.

4.3: Teleology and Long-Range Deferral

Implicit in Cone's writing on the 'sonata principle' is the fact that reappearance of an off-tonic theme in the tonic should occur before the close of the movement.[310] Sonata Theory maintains, however, that the return of previously non-tonic material (and with it the correction of the off-tonic EEC to a tonic ESC) must transpire within the sonata space itself, and cannot be delayed until the coda.[311] If the S-theme fails to achieve the structural cadence, and the ESC is instead deferred to the coda, then the 'generic contract' of sonata form has been broken.[312] The ESC is perhaps the most 'essential function within the temporal form because with it the form gets its "point", its goal.'[313] These theoretical understandings come into direct conflict in Mendelssohn's music because of his inclination for syntactic instability, dissociation of closure and cadences, and his tendency to 'shift the main dramatic weight from the beginning to the end', [314] especially the propensity to postpone cadential correction of the exposition's modulation (specifically the structural cadence and/or ESC) from the S-space to either the closing section, or beyond into the coda. Op. 66/i is a particularly relevant example of these proclivities. Despite the fact that Mendelssohn 'marshal[s] recognizable expositional [and recapitulation] intrathematic syntax and interthematic rhetoric' he continuously and fundamentally undermines 'the crucial role that cadence plays in this context.'[315] The recapitulation again does not feature closure at the end of the theme, and only the weaker PAC options at the end of the closing section are present (although neither of these represent the ESC). Consolidation and confirmation of the global tonic is not marshalled at the conclusion of the closing section, with the coda entering in measure 307. The structural cadence is finally produced in measure 372, deep into the coda space. Deferral of the tonic is not confined to the second part of the recapitulation: it is also evidenced in part one. The recapitulation commences with a truncated form of the main theme: only the A section's consequent phrase and part of the A^1 material is returned (thus A is significantly reduced, and the B/contrasting middle is deleted). The result of the truncation and deletion is the removal of both expositional C minor PACs present in the exposition. Tonic support is only manifest in the C minor half cadence at the end of A; circumstances which are further problematised by $A^1 \Rightarrow$TR, and by the transition's termination on a I:HC MC, thereby executing a mode switch. The first authentic cadence in the recapitulation is the internal C major IAC at the end of the subordinate theme's A section. The contrasting

[310] Edward T. Cone, *Musical Form and Musical Performance* (New York: Norton, 1968): 76-77.
[311] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 242-247.
[312] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 246.
[313] Karol Berger, *Bach's Cycle, Mozart's Arrow: An Essay on the Origins of Musical Modernity*, 181.
[314] Nicholas Marston, '"The Sense of an Ending": Goal-Directedness in Beethoven's Music', 94.
[315] Julian Horton, 'Formal Type and Formal Function in the Post-Classical Piano Concerto', 110.

middle features a PAC, but now in G major: both off-mode and off-tonic. Thus, the weak C minor PACs near the closing section's conclusion offer the first support for the tonic, while the first global-tonic structural completion in the movement since the exposition main-theme space is located in the coda, finally bringing to a conclusion a long-range, perpetual suspension of interthematic cadences. This is not an example of a modally-liberated sonata form; despite initial presentations of the subordinate theme in C major and G major (sections A and B/contrasting middle respectively), and irrespective of the internal C major tonicisation in the coda (wherein a C major PAC is evident in measure 353), the movement ultimately yields to C minor.

These issues further materialise in Op. 44 No. 2/iv, where they are compounded by a long-range teleology caused by the inability of the recapitulation main theme to cadence. The status of the global tonic, E minor, is secured for the most part in the exposition main theme. The theme's structural cadence in measure 39 arguably seems audibly distinct, albeit the cadence is marginally undercut by the re-emergence of the movement's upbeat figure in the bass (underneath the soprano's $\hat{1}$), which thereby produces a small elision; nonetheless, E minor appears structurally supported in the movement thus far. The same cannot be said for the recapitulation. The main-theme reprise is first obscured by an elision between the development and recapitulation. The recapitulation does not receive much preparation, and instead the main theme is gradually fabricated from material at the end of the development. Its reappearance is therefore obscured. Second, as a by-product of this, the reprise commences before the tonic is secured. Third, the main theme's ECP, which produces a structural cadence in the exposition, fails to do so in the recapitulation, and the main theme dissolves into the subordinate theme having not cadenced. Thus, in light of the fact that the reprise arrives before tonic harmony, struggles to assert the tonic throughout the ensuing main-theme section, and produces no main-theme cadence, the tonic still awaits structural support. This initiates a type of 'teleological intensification',[316] transferring the confirmation of the tonic to later in the recapitulation, and making it incumbent on the subordinate theme to achieve a tonic structural cadence.

These issues are, however, aggravated in the subordinate theme because it is presented in the parallel major. The finale does not echo the first movement in its treatment of the subordinate theme's concluding functions. The first movement features a pre-ESC retrieval of main-theme motives, a modal decay from the tonic-major back to the tonic-minor, which produces both the mode switch to E minor, and an ESC in the global tonic. The same cannot be said for the finale; despite a similar retrieval of main-theme material preceding the closing section, E minor is not secured. Moreover, the cadence at the end of the subordinate theme (measure 379) is a weak converging half cadence, and the closing section itself is furnished only with two non-structural IAC events, rather than a stronger PAC option. This serves only to

[316] Julian Horton, 'Bruckner's Symphonies and Sonata Deformation Theory', 13.

exacerbate rather than relieve the tension generated by the lack of support for the global tonic, particularly in light of the coda section, which returns the material to the tonic minor. Had the remaining recapitulation and coda material continued in the major mode, then this might have been regarded as a 'strategy ... transforming tonic minor into tonic major.' The 'emancipation' and 'liberation' of the movement,[317] the conversion of the tonic minor to the parallel major, does not win, and the hopes raised by the conversion of the S and C spaces to the parallel major are ultimately denied. Sonata Theory's 'generic contract' is broken, the job of securing the structural i:PAC is transferred out of the sonata space, and the burden is placed on the coda.[318] E minor is ultimately secured half-way through the coda in measure 461, thereby releasing the tonal tension built across the recapitulation, and further extinguishing any hopes of a parallel major liberation.

The burden of long-range teleology is considerable in the finale of Op. 80. The exposition's main theme fails to produce a structural tonic (F minor) PAC before the theme dissolves to transition. Thus, the half cadence at the end of the theme's antecedent function is the only form of tonic support in the exposition, given that the transition modulates and that the subordinate theme is presented in the relative major. The duty of securing a thematic tonic cadence is transferred to the recapitulation, which also struggles in its efforts. While tonic bass support occurs concurrently with the reprise of the main theme (rather than the dissociation of thematic and harmonic reprise observed in recapitulation procedure 2), the recapitulation main theme also fails to produce a tonic structural cadence, thereby amplifying the teleological issues, and destabilising the sonata form's structural integrity. The first thematic, tonic cadence occurs in measure 305 within the recapitulation subordinate-theme space. As demonstrated in section 3.5.1, this cadence is internal, not structural. Mendelssohn's attempts to compensate for the lack of F minor cadential support give way to an extended period of authentic cadences, but the intensity built by the cadential pursuit anticlimactically leads, for the most part, to a series of imperfect rather than perfect authentic cadences. Thus, despite initial (prolongational) harmonic support for F minor in both the exposition and recapitulation main themes, a considerable amount of the sonata space passes before an F minor structural cadence is ultimately rendered.

Teleology is also a factor in Op. 13/i. Similar to Op. 80/iv, the exposition's main theme does not produce a structural cadence as a result of a dissolving consequent. The transition's modulation further produces no tonic cadences. The return of main-theme material in the recapitulation does not correct the initial lack of cadential material, and truncation dissolves the material to transition earlier than in the exposition. The first secured tonic cadence is in fact the recapitulation medial caesura, presented as an elided A minor PAC on measure 172. There is a substantial overlap between the transition and

[317] James Hepokoski and Warren Darcy, *Elements of Sonata Theory*, 311.
[318] Warren Darcy, 'Bruckner's Sonata Deformations' in *Bruckner Studies*, ed. by Paul Hawkshaw and Timothy L. Jackson (Cambridge: Cambridge University Press, 1997): 274.

subordinate-theme spaces (similar to the exposition), with the transition's concluding harmony occurring after the onset of thematic material. Unlike Op. 80/iv, the recapitulation does provide a clear ESC at the end of the subordinate theme, thereby fulfilling the expected sonata-trajectory. The coda, however, provides the first opportunity in the movement for a cadentially-defined main-theme section. The coda, beginning in measure 225, cycles through the first theme's content and produces a structural A minor PAC in measure 244, thereby concluding a form of teleology created in the sonata-space, by correcting the theme's previous cadential failures.

Teleological issues are apparent in the dramatisation of Op. 49/i's tonic cadential closure. Reconsideration of the material post-measure 39 as a contrasting middle (as demonstrated in the earlier analysis, and illuminated by Schmalfeldt),[319] demotes the tonic PAC from a structural to an internal cadence. The remaining material of the main-theme ternary form does not produce any PACs, with the A^1 section dissolving to transition. Thus, the only tonic cadence in the exposition is internal to the main-theme zone. This creates a long-range tonal tension, exacerbated by truncation of the main theme in the recapitulation, which returns only part of section A. Moreover, despite the presence of tonic harmony in the piano, the recapitulation is supplemented by a new counter melody in the violin, which elides the development and recapitulation spaces and covers the thematic reprise in the cello. The recapitulation features deletion of the contrasting middle and A^1 material and dissolution of the A material prior to cadential closure. Thus, the processes of functional transformation operate earlier in the recapitulation main-theme zone and remove the tonic cadence, thereby deferring consolidation of the tonic. The subordinate theme's return in the tonic major likewise delays tonic confirmation, the job of which is finally executed by the closing section, which concludes with a (global tonic) D minor PAC in measure 529. Thus, between the internal main-theme A-section PAC in measure 39 and the closing section PAC in measure 529, the sonata form continually postpones and suspends tonic confirmation. Structural instability is thus manifest in two forms: both in the temporal uncertainties produced by continuous retrospective reinterpretation, and in the incompleteness of tonic structural closure. The former is Schmalfeldt's process of 'becoming', which invites continuous reappraisal of the temporal location and functional purposes of given segments of music, and operates as a method of obfuscation, blurring the functional identity and our spatial awareness. The latter is particularly well-crafted given that the deferral of tonic resolution is embedded in otherwise coherent functional and thematic units. It is perhaps only at the end of the recapitulation's subordinate theme, with its D major cadence, and the subsequent closing section's mode switch (which negates the possibility of a major-ending minor sonata form) that full realisation of D minor postponement is established. The demands on the minor-mode closing section to secure D minor are thus intensified, and released only with the successful completion of the D minor PAC.

[319] Janet Schmalfeldt, *In the Process of Becoming*, 164-173.

Perpetuation of the issues of conflict and resolution are deeply embedded in the first movement of Symphony No. 4, which is an exemplar of cadential evasion and deferral in Mendelssohn's public works. The movement opens with a complex multi-part main-theme structure. The single articulated tonic PAC is internal to the main-theme zone, occurring in measures 22-23. Thereafter, a series of cadential evasions, coupled with the dissolving nature of the consequent/A^1 material, and the subsequent transition modulation, means that there is no other tonic authentic cadence in the exposition. These issues are compounded in the recapitulation by several factors. The movement attests to recapitulation procedures 1, 2, and 3, which means that the development and recapitulation are elided, that the thematic and harmonic reprise do not occur concurrently, and that the recapitulation space is truncated, with functions removed, including the exposition PAC, which is presented as a deceptive cadence, rather than a PAC, in the recapitulation. Moreover, the transition and subordinate-theme functions are also elided, thereby obscuring or concealing any sense of tonic cadence. The subordinate theme's continuous deferral of the structural cadence therefore magnifies matters, a fact which is intensified when a return of development material intrudes on the recapitulation space and further delays cadential articulation. Reflecting the exposition's treatment of S and C spaces, the recapitulation's closing section enters prior to the ESC, and given that it commences over a $^6_3$ chord and largely comprises multiple attempts to cadence, it acts as a type of enlarged ECP. The ESC is finally secured in measure 554, and represents the first structural tonic PAC in the recapitulation.[320] This is both a considerable distance from the start of the reprise, and indeed from the exposition's PAC in measures 22-23. Despite the fact that the movement features relatively little structural support in the form of cadences, the material is largely unambiguous as to the rhetorical, motivic, and temporal identity of functions, and these alternative parameters explicitly provide awareness of changes between successive interthematic functions.

Two overtures, *Ouvertüre zum Sommernachtstraum* and *Die schöne Melusine*, are exemplars of tonic instability stemming from cadential deferral. *Ouvertüre zum Sommernachtstraum* tonicises E major in its introduction, but the sonata space opens with an E minor main theme. Despite internal half cadences that correlate with the minor mode, the theme concludes with an E major cadence, thereby undermining the integrity of E minor. Moreover, the recapitulation recalls the E major introduction first, before proceeding to the E minor main theme. The structural cadence is deleted from the reprise, presenting ambiguity as to the piece's mode. The remaining recapitulation space tonicises the major mode, but further ambiguity is initially evidenced at the start of the coda, which retrieves E minor main-theme material. Ultimately, the piece concludes in E major, the consequence of which is that the main

[320] The model for returning the development fugato before the closing section must surely be Beethoven's *Eroica*, except that Beethoven returns his development theme after the ESC.

theme, typically seen as the principal vehicle of tonic establishment, reinforcement, and confirmation, stands modally apart from the rest of the sonata form.

The circumstances in *Die schöne Melusine* are more extreme. Following an F major introduction, the F minor main theme is merged with the transition and does not produce a structural cadence. This establishes both a long-range teleology and also a conflict regarding the true tonic of the piece. The recapitulation exacerbates this conflict by returning the introduction material in the place of the main-theme function. The subordinate theme concludes (non-cadentially) in F minor, which is reiterated by the closing section. However, F minor is not cadentially supported by either function, and the recapitulation yields to the coda, which now asserts F major, supported through a series of F major PACs. A significant portion of *Die schöne Melusine* instantiates F minor, meaning that the absence of any authentic cadences to support this, and the propensity to delay or defer cadential articulation in the minor mode, has a considerable impact on the modality of the piece, and the integrity of the sonata form given that confirmation of the tonic is transferred to the coda.

There are complex issues of long-range deferral in the overture *Meeresstille und glückliche Fahrt*. The exposition sets this tonic conflict in motion by denying the main theme any form of strong internal or structural tonic cadence. The theme opens with a compound basic idea, whose internal presentation function is cadentially articulated, but only through a weak plagal cadence. Thereafter, the continuation is liquidated in advance of securing a cadence, and the main-theme zone moves directly to a consequent phrase, which is itself dissolved to transition through the processes of 'becoming'. Thus far in the movement, despite a significant presence of D major (tonic) in the introduction and main-theme zone, the presentation plagal cadence remains the only successfully articulated cadence (the introduction is itself undermined by several bass pedals). The treatment of interthematic functions in the recapitulation exacerbates the issues presented by weak tonic support. The recapitulation reorders the functions, such that the material returns with the subordinate theme first. The reprise is problematised by a persistent dominant bass pedal, which undermines the stability of the recapitulation zone and dissociates the thematic and harmonic reprises. Resolution to a tonic bass is deferred until the main-theme reprise, which commences in measure 400, albeit this is non-cadential; truncation of the main-theme zone removes most of the intrathematic functions, including the corresponding plagal cadence. The transition theme, which also functions as a closing section, now adopts the burden of cadential resolution in the tonic, which is finally achieved in measure 456. Therefore, despite clear rhetorical distinctions in the interthematic geography, cadential markers and tonic resolution are continually undermined, beginning with the exposition main theme, and carried over into the unstable recapitulation space. Truncation and fragmentation of the themes in the recapitulation zone hold the movement in a persistent manner of stasis, produced by an obstinate refusal to confer tonic structural cadential support.

4.4: Mendelssohn in Context

Mendelssohn's strict teaching in the traditional techniques[321] meant that he was much indebted to earlier styles. This was not just imitation, however, and instead his compositions lay witness to an evolution of the inherited traditions, folded into a deeply-nineteenth century perspective of composition. Mendelssohn's predilection to continuously delay structural closure, avert consolidation of the tonic, and his preference for continuity between thematic functions (where cadences may otherwise typically act as a means of punctuation between them), contributes to what Erez Rapoport calls the 'smoothing-over' of formal boundaries.[322] The origins for which, he argues, are an attempt to synthesise the Baroque style of continuous momentum, with that of the Classical style, which features distinct divisions and formal articulations.[323] Building on this astute argument, we can therefore begin to recognise the reconciliation of these somewhat opposing ideals. Mendelssohn's treatment of his main themes distends the characteristics associated with tight-knit main themes observed in the classical style, and he instead imbues main themes with some of the attributes more typically reserved for subordinate themes. He does this by frequently undermining the stability of the classical syntaxes, through a continuous deployment of expansion and extension proliferative mediums. Nonetheless, he still favours the cadence as a means of concluding the exposition main theme. The same is not true of the subordinate theme, however, wherein a sense of continuous motion and momentum is generated. In particular, he habitually adopts energising closing sections, which are established before the foregoing subordinate theme has achieved closure. In so doing, he creates a sense of continuity between the subordinate theme and closing section spaces.

Any associations between main themes and Caplin's 'tight-knit' formation are by and large cast-off in the recapitulation, though, owing to the perpetual actions of truncation.[324] The 'smoothening-over' of boundaries is intensified in the recapitulation, where multiple examples of development and recapitulation elision (recapitulation procedure 1), main theme and transition elision (recapitulation procedure 4), and subordinate theme and closing section elision (*S-Closure Category 2* and *S-Closure Category 3*) are observed. These elisions of functions are coupled with dissociation of thematic and harmonic reprise (recapitulation procedure 2), truncation (recapitulation procedure 3), loss of main theme cadence, deletion of transition spaces, and deferral of the ESC post-C. In the extreme, cadential articulation is divorced entirely from the recapitulation zone, and the burden of long-range teleology transcends the traditional boundary between the sonata space and the coda.[325] Nonetheless, it could be

[321] See for example R. Larry Todd, *Mendelssohn's Musical Education: A Study and Edition of his Exercises in Composition*, Cambridge: Cambridge University Press, 1983.
[322] Erez Rapoport, *The Smoothing-Over of Formal Junctures as a Style Element in Mendelssohn's Instrumental Music*, PhD Thesis, The City University of New York, 2004.
[323] Erez Rapoport, *The Smoothing-Over of Formal Junctures as a Style Element in Mendelssohn's Instrumental Music*, 297.
[324] Rapoport argues that truncation of material in the first part of the recapitulation stems from the practices of Haydn: Erez Rapoport, *The Smoothing-Over of Formal Junctures as a Style Element in Mendelssohn's Instrumental Music*, 308.
[325] See for example those movements in which the ESC is deferred to the coda.

argued these qualities of perpetual motion, continuity between distinct functions, and long-range deferral, are couched within a Mozartian clarity and facility.

Rapoport observes that, by comparison with his contemporaries, notably Chopin and Schumann, Mendelssohn was more conservative: 'his music does not feature the daring tonal experiments that can be found in some pieces by Chopin, or the unusual tonal ambiguities that are often encountered in Schumann's music.'[326] Nonetheless, it remains clear that Mendelssohn drew these novel cadential techniques from a shared stylistic practice. In particular, when looking at composers of the later nineteenth-century Mendelssohn's cadential conventions deserve some mention. Many of the strategies observed in Brahms (by way of a brief example) are prefigured in Mendelssohn's work.[327] Brahms is particularly keen on bringing the subordinate theme in over an active dominant, such as in the first movement of Op. 50 No. 1. This movement also features a recapitulation in which the harmonic and thematic reprises are divorced. There are issues with locating closing sections, and issues surrounding the attainment of the EEC (see for example the Op. 101 finale,[328] and the slow movement of Op. 60[329]). Additionally, the finale of Op. 108 testifies to a continuous process of tonic instability and deferral of tonal closure.[330] In Smith's analysis of the first movements of the Horn Trio (Op. 40) and the Clarinet Trio (Op. 114) he details Brahms' extensive use of tonal delay, which coupled with an extended pursuit for a satisfactory tonic, engenders a perpetual sense of open-endedness.[331] There are further explicit influences, such as the connection between Mendelssohn's Op. 66, and both the Scherzo of Brahms' F-Minor Piano Sonata, Op. 5, and the finale of Brahms' C minor Piano Quartet, Op. 60, which directly quotes Mendelssohn's trio, similarly features a chorale as a key component in its finale, and is also concerned with the topos of C -minor/major.[332] Although not as influenced by Mendelssohn than by composers such as Beethoven or Schubert,[333] there remains nonetheless a common approach to formal boundaries and cadences between the two composers, and in particular a penchant for blurring interthematic divisions precipitated by cadential and tonal deferral, which hints at a lineage from Mendelssohn through to the later nineteenth-century style.

[326] Erez Rapoport, *The Smoothing-Over of Formal Junctures as a Style Element in Mendelssohn's Instrumental Music*, 319.
[327] David Brodbeck provides an illuminating account of Brahms' personal and professional relationship to Mendelssohn in David Brodbeck, 'Brahms's Mendelssohn' in *Brahms Studies* 2, ed. by David Brodbeck (Lincoln: University of Nebraska Press, 1998): 209-232.
[328] Nicole Grimes, *Brahms's Elegies: The Poetics of Loss in Nineteenth-Century German Culture*, Cambridge: Cambridge University Press, 2019: 232-233.
[329] Erez Rapoport, *The Smoothing-Over of Formal Junctures as a Style Element in Mendelssohn's Instrumental Music*, 334-340.
[330] David Beach and Ryan McClelland, *Analysis of 18th- and 19th-Century Musical Works in the Classical Tradition*, New York: Routledge, 2012: 331-348.
[331] Peter H. Smith, 'Brahms and the Shifting Barline: Metric Displacement and Formal Process in the Trios with Wind Instruments' in *Brahms Studies* 3, ed. by David Brodbeck (Lincoln: University of Nebraska Press, 2001): 207.
[332] Peter H. Smith, *Expressive Forms in Brahms's Instrumental Music: Structure and Meaning in His* Werther *Quartet* (Bloomington: Indiana University Press, 2005): 225; and David Brodbeck, 'Brahms's Mendelssohn', 217.
[333] Erez Rapoport, *The Smoothing-Over of Formal Junctures as a Style Element in Mendelssohn's Instrumental Music*, 334.

4.5: Concluding Remarks

'The form's rhetorical outline is clear to the point of simplicity, but Classical structural markers are systematically removed, devalued or displaced';[334] although these conclusions were explicated in relation to Bruckner, they equally encapsulate Mendelssohn's sonata-form practices. As a point of departure from classical precedents, reconsideration of the interdependence between cadence and closure is evidently necessary. Processes of functional transformation, liquidation, harmonic, functional, and rhetorical elision, and motivic and dramatic characteristics must all be permitted as indicators of intrathematic cessation, and by association interthematic change. Mendelssohn frequently imbues the music with a 'dynamic impulse' that propels the material forward,[335] often past the point of cadential articulation, or in a way that subordinates cadences and formal divisions to the thematic process. A reconsideration of the hierarchical position of cadences is thereby imperative, and preconceptions of main theme and subordinate theme closure as intrinsically associated with cadences is warranted. Specifically, in the first instance the assumption that main themes will articulate a strong tonic cadence is challenged by the marked increase in looser, weaker closure (IACs, non-tonic cadences, rhetorical closure, evaded or abandoned cadences, and functional transformations). Similarly, a reconsideration of the concepts attached to the EEC and ESC is self-evident. Practices of reordering closing sections to pre-structural cadence positions, abandonment of the EEC/ESC, and deferral of cadences into parageneric spaces (primarily the coda) must be reappraised as normative, conventional sonata-form procedures, rather than deformations, in light of their prolific use in the repertoire.

There are an abundance of form-functional, syntactic, and cadential challenges evidenced in Mendelssohn's music; this study has by no means proposed an exhaustive framework for grappling with these issues. Nonetheless, it has sought to contribute to the recent scholarly momentum around nineteenth-century form, by addressing cadential and formal articulation in the context of Mendelssohn's novel approaches to syntax, proliferation, truncation, form-functionality, interthematic indeterminateness, syntactic and functional instability, and elision, in order to illuminate his continued process of downplaying, deferring, and deleting cadences.

[334] Julian Horton, 'Form and Orbital Tonality in the Finale of Bruckner's Seventh Symphony', 278.
[335] Similar to the processes of 'dynamic impulse' addressed by John Rink, '"Structural momentum" and closure in Chopin's Nocturne Op. 9, No. 2', 117.

Appendix: List of Works

Work	***Opus***	***Movement***	***Date***
Trompeten-Ouvertüre	101	-	1825
Piano Quartet No. 3	3	I	1825
		II	
		IV	
Overture, *Die Hochzeit des Camacho*	10	-	1825
Octet for Strings	20	I	1825
		II	
		III	
		IV	
String Quintet No. 1	18	I	1826 (revised 1832)
		IV	
Ouvertüre zum Sommernachtstraum	21	-	1826
String Quartet No. 2	13	I	1827
		IV	
Overture, *Meeresstille und glückliche Fahrt*	27	-	1828
String Quartet No. 1	12	I	1829
		IV	
Overture, *Die Heimkehr aus der Fremde*	89	-	1829
Symphony No. 5	107	I	1830
		IV	
Overture, *Die Hebriden*	26	-	1830
Overture, *Die erste Walpurgisnacht*	60	-	1832
Ouvertüre zum Märchen von der schönen Melusine	32	-	1833
Symphony No. 4	90	I	1833
		II	
String Quartet No. 4	44/2	I	1837
		II	
		IV	
String Quartet No. 5	44/3	I	1838
		II	
		IV	
String Quartet No. 3	44/1	I	1838
		III	
		IV	
Cello Sonata No. 1	45	I	1838
		III	
Overture, *Ruy Blas*	95	-	1839
Piano Trio No. 1	49	I	1839
		III	
		IV	

Symphony No. 2	52	I	1840
Symphony No. 3	56	I	1842
		II	
		IV	
Cello Sonata No. 2	58	I	1843
		IV	
Piano Trio No. 2	66	I	1845
		IV	
String Quintet No. 2	87	I	1845
		II	
		III	
		IV	
Overture, *Athalie*	74	-	1845
String Quartet No. 6	80	I	1847
		III	
		IV	

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